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AUTHOR	Stander, Philip
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ABSTRACT

The Theory/Practice Public Administration Pilot Project at Medgar Evers College at the City University of New York attempted to develop a curriculum that would integrate theory and practice in public administration education. This publication contains the final evaluation report of the project along with the learning packages used in the program. The evaluation report explains the program and each of its competence-based areas: values underlying public policy; implementing statutory programs and policies; communicating public agency policies, plans, and practices; and analyzing and contributing to personnel relationships, systems, and practices. The report presents demographic, pretest, posttest, and attitudinal data. The demographic survey revealed that more than half the students in the program are female, and that the students are older than most college students and have rather low high school grades. Analysis of attitudinal data revealed very positive student attitudes toward the program. A comparison of pretest and posttest scores revealed dramatically significant student gains. The learning packages section of the document presents the program's broad objectives (called theory practice units) and the accompanying performance objectives (called components). Also included in the learning packages section are program curriculum materials, reading lists, syllabi, glossaries, examinations, and quizzes. (Author/JM)

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MEDGAR EVERS COLLEGE
OF
THE CITY UNIVERSITY OF NEW YORK

1150 Carroll Street
Brooklyn, New York 11225

Theory/Practice Curriculum in Public Administration

Supported By Fund For The Improvement of
Post Secondary Education, U. S. Department
of Health, Education, and Welfare, 1975-1978

EA 011 890

DR. MURIEL GREENHILL, Director
Institute of Public Administration

Medgar Evers College of
The City University of New York
Brooklyn, N.Y. 11225

Theory/Practice Curriculum in Public Administration

Supported By Fund For The Improvement
of Post Secondary Education, H.E.W.,
1975 - 1978

Project Director:
Dr. Muriel Greenhill, Director
Institute of Public Administration
Medgar Evers College

Independent Evaluator:
Dr. Philip Stander, Chairman
Department of Behavioral Sciences,
Kingsborough Community College

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FINAL EVALUATION REPORT

of the

THEORY/PRACTICE PUBLIC ADMINISTRATION PROJECT

1977 -78

Submitted by: Dr. Philip Stander

For the Theory/Practice Public Administration
Pilot Project at Medgar Evers College of CUNY
supported by the Fund for the Improvement of
Post Secondary Education, Office of Education,
Department of Health, Education and Welfare.

FINAL EVALUATION REPORT
# of the
THEORY/PRACTICE PUBLIC ADMINISTRATION PROJECT

I. OVERVIEW

The Theory/Practice Public Administration Pilot Project, at Medgar Evers College of the City University of New York, is supported by the Fund for the improvement of Post Secondary Education, Office of Education, Department of Health, Education and Welfare The project director, Dr. Muriel Greenhill, and her staff have provided materials, minutes of meetings, drafts of the learning packages for each of the four competence-based areas being field tested, and relevant information in order to facilitate the production of this report.

The competence-based public administration curriculum being developed and piloted is one of relatively few, at the undergraduate level in public administration, that is professionally and public-service oriented and which deliberately attempts to integrate theory and practice throughout the learning experience. The curriculum model consists of the substantive Competence-Based Areas (CBAs), or knowledge-based capabilities, and the Capacities, or personal/professional attributes, which shape and characterize performance The Capacities are at the first stage of integration within the curriculum, having been identified during the latter part of the 1976-77 academic year. The project is exploring how the process of instruction in the substantive areas relates to the development of students' personal and professional capacities, of which nine have been tentatively identified.

In the first two funding years, the project developed a curriculum model consisting of eleven substantive CBAs. The CBA learning packages are designed to meet the needs of diverse student constituencies, encompassing both traditional and non-traditional students, e.g., returning students, in-service and pre-service personnel, women and minorities. Each learning package includes operationally defined educational objectives, assessment criteria and materials, and a variety of supplementary educational resources. Four learning packages for CBAs 2,3,4 and 6 have been developed and were piloted during the 1977-78 academic year at Medgar Evers College. Another learning package, CBA 1, which was utilized in early, preliminary piloting, is now in need of refinement and revision, based upon further piloting, to make it more consistent with those which were piloted and refined this year. Early work on developing CBA 5 was put aside when the direction of federal funding support shifted from continued development to piloting; it is partially developed, has not been piloted at all, and is ready for additional development. Augmentation and refinement of the curriculum, i.e., in each learning package, has been based on experiences derivative of the piloting.

The project evolved out of concern for the following educational issues:

1. The need for substantial, innovative resources to better articulate and support the commitment to the effective integration of theory and practice in public administration education;

2. the value of re-examining and more explicitly operationalizing objectives for the public administration program as a whole, and each of its components, with a deliberate focus on both the cognitive learning and the abilities that students were expected to demonstrate and achieve;

3. the desire for more consistent, imaginative and efficient assessments of student achievement for use in evaluating progress, as well as to meet the need for responsible ways to credential prior learning;

4. the willingness to confront a range of concerns, including those listed above, which are collectively subsumed in the term, "accountability";

5. the importance of developing a conceptual model of public administration education which deliberately supports exploration of a wide range of educational concerns, such as sensitivity to one's own values and those of others, and the ways in which these values relate actions and positions on public policies and programs.

The following lists the CBA titles and the Medgar Evers College course numbers, or counterpart designations:

Counterpart Designations

CBA Title, Theory Practice Project	Course Number, Medgar Evers College
CBA 1. Understanding Public Agency Structure and Administrative Processes, Part I	P.A. 103 Introduction to Public Administration
CBA 2. Implementing Statutory Programs and Policies, Part I	P.A. 120 Statutory Analysis I
CBA 3. Communicating Public Agency Policies, Plans and Practices	P.A. 201 Government Communication
CBA 4. Analyzing and Contributing to Personnel Relationships, Systems and Practices	P.A. 105 Public Personnel Administration
CBA 5. Understanding Public Agency Structure and Administrative Processes, Part II	P.A. 300 Public Bureaucracy
CBA 6. Implementing Statutory Programs and Policies, Part II	P.A. 215 Statutory Analysis II
CBA 7. Systematizing Agency Fiscal and Budgetary Processes	P.A. 340 Systems Analysis in Planning and Budgeting
CBA 8. Responding to Agency's Constituencies Needs	P.A. 340 Trends in Organizational Response to the Urban Environment
CBA 9. Problem Solving in Public Agencies, Part I	P.A. 405 Municipal Administration or P.A. 407 Comparative Public Administration
CBA 10. Problem Solving in Public Agencies, Part II	P.A. 415 Policy Making and the Public Interest

(Cont'd)

Counterpart Designations (Cont'd)

CBA Title, Theory Practice Project	Course Number, Medgar Evers College
CBA 11. Decision Making in Public Agencies, Part I	P.A. 450 Decision Making in Government Agencies
and	and
Decision Making in Public Agencies, Part II	P.A. 470 Practicum: Administrative Decision Making in Government Agencies
	or
	P.A. 480 Internship: Administrative Decision Making in Government Agencies

Given the above counterpart designations, it should be understood that CBAs 2,3,4 and 6 were field tested as P.A. 120, P.A. 201, P.A. 105 and P.A. 215 at Medgar Evers College during the 1977-78 academic year.

II. IMPLEMENTATION OF RECOMMENDATIONS OF THE 1976-77 "FINAL EVALUATION REPORT"

A. THE EVALUATION DESIGN AND DATA ACQUISITION

In the course of the June 28, 1977 meeting of the Project Advisory Council, recommendations were made regarding the nature of the projected evaluation of piloting during the third year of project activities, 1977-78. These recommendations were embodied in the Final Evaluation Report, 1976-77 and were subsequently implemented as follows:

1. The Evaluation Design, attached, was developed in the form recommended and includes the following elements:

a. Theory/Practice Units and their Components (i.e., performance objectives).

b. Criteria for assessment.

c. Methods of assessment.

d. Pre-post testing plan for assessing the impact of the curriculum on the learning and the attitudes of the students enrolled in the pilot classes.

e. Description of the method of data treatment and analysis.

f. Pre-post test instruments and measures.

Pre-tests were administered at the beginning of the Fall, 1977 semester and were administered as post-tests at the end of the semester. The same pre-post testing plan was implemented in the Spring, 1978 semester.

Pre-post test results were used in the computation of final grades. Students were informed at the beginning of the semester that the degree of their progress will be included in a determination of final grades.

At the end of the Fall, 1977 and Spring, 1978, semesters, a computer printout of pre-post test data was generated, and includes the following:

a. a t-test on pre-post measures in order to determine the extent of student learning.

b. mean raw score
c. standard deviation of all scores
d. mean difference between pre and post scores
e. probability level, or the degree of significance where at least the 0.05 level is significant.

Data derivative of testing, including intrepretation, appears in Section III (Data Analysis) of this final report. In addition, a data base is being maintained for both cross-sectional and longitudinal evaluation.

B. THE EVALUATION SUB-COMMITTEE

It was recommended in the Final Evaluation Report, 1976-77, that a Project Advisory Committee be formed consisting of the most active members of the Project Advisory Council of 1976-77. This recommendation derived from the fact that the Project Advisory Council could no longer function in the project's third year because of significant funding reductions.

The Project Advisory Committee was formed and has the following membership: State Senator Major R. Owens, Chairperson; Dr. Bernard Ross, Director, Urban Affairs Program, The American University; Dr. James D. Carroll, Director, Programs in Public Management and Public Policy, The Maxwell School of Citizenship and

Public Affairs, Syracuse University; Ms. Nancy S. Horowitz, Director of Planning and Evaluation, Stamford, Conn. CETA Administration; Dr. Andrew Korim, Provost, Community College Component, West Virginia State College; Sister Georgine Loacker, Alverno College; (alternate, Prof. Alan Wutzdorff, Chairperson, Department of Behavioral Sciences, Alverno College); Dr. Sherry Penney, Associate Provost, Yale University; Dr. Theodore Thomas, School of Public Administration, University of Southern California; and Mr. Don M. Blandin, Special Assistant for Administration, Department of Housing and Urban Development, Washington, D.C.

In compliance with last year's recommendation, an Evaluation Sub-Committee was formed consisting of the three members of the Project Advisory Committee who possess the most appropriate experience and expertise in professionally-oriented public administration education/practice. The prestigious Evaluation Sub-Committee consisted of the following members:

1. Dr. Bernard Ross, Director, Urban Affairs Program, the American University School of Public Affairs, Washington, D.C. (Fall and Spring visitations).
2. Dr. Theodore Thomas, School of Public Administration, University of Southern California at Los Angeles (Fall visitation)

3. Dr. James D. Carroll, Director, Programs in Public Management and Public Policy, the Maxwell School of Citizenship and Public Affairs, Syracuse University (Spring visitation).

4. Ms. Nancy Horowitz, Director, Evaluation and Planning, CETA, Stamford, Connecticut (Spring visitation).

The terms of the FIPSE grant mandated a pre/post plan of visitation by the Evaluation Team. In addition to the contributions to the formative and summative evaluation of the pilot project by Dr. Philip Stander, Independent Evaluator, and Dr. Andrew Henderson, Director of Institutional Research at Medgar Evers College, the Evaluation Sub-Committee evaluated the piloting through on-site visits and examination of learning packages and other materials.

The Evaluation Sub-Committee made its on-site visits during the Fall, 1977 semester on December 8 and 9, 1977, and made its post visits late in the Spring semester, May 17 through 19, 1978. Sub-committee members visited classes, met with the project director, faculty, students, Director of Institutional Research, independent evaluator, and college officials. The following summarizes the meetings and work sessions of the evaluation team:

At the first session on December 9, 1977, Dr.'s Ross and Thomas (members of the Evaluation Sub-Committee), and Dr.'s

Henderson and Stander met with the Project Director, Dr. Muriel Greenhill. The Evaluation Team obtained information relating to the nature of the pilot project, the field testing, the pre-post evaluation design, the extent to which the original objectives were being realized in course work, the nature of secondary objectives which had emerged, the extent of institutional support, and the feedback and expression of interest from academics and institutions

At the first session of the post-visit on May 18, Dr. Carroll, Ms. Horowitz and Dr. Ross (members of the Evaluation Sub-Committee) and Dr. Stander, met with Dr. Greenhill to obtain additional information. The team was informed about the collection of pre/post test data, both cognitive and attitudinal, and the expression of interest from academics and universities derivative of dissemination of information about the project at the ASPA Conference of Spring, 1978.

In its pre-visit meeting with college officials, it was learned that the P.A. program/project was considered to be a first priority and that student recruitment was taking place on a wide scale. The program was receiving support because of the obvious benefits of a professionally-oriented competence-based program which clearly states course and program objectives and which seeks to objectively assess student learning.

In the course of the team's post-visitation, Dr. Dominic Nwasike, Chairperson of the Division of Social Sciences, expressed strong support for the Public Administration project in light of the fact that the competence-based curriculum approach and materials are perceived as a valuable contributor to student learning. In addition, Dr. Nwasike stated that the college is committed to assisting in the duplication of the learning packages in order to disseminate information about the competence-based program to other colleges and universities.

At the pre-visit session with P.A. instructional staff members, Hindy Schachter and Rafael Zambrana discussed the piloting of the Competence-Based Areas which they were teaching. The consensus was that the objectives were sufficiently broad to apply to a variety of student populations, i.e., given diverse student populations, the emphasis would need to be changed but not the Theory/Practice Units and their components (or performance objectives).

Staff members revealed that their teaching of the traditional P.A. courses has been significantly affected. As a result of their work within the pilot project, objectives are being more carefully identified, criteria for assessment are identified and discussed with students and, consequently, students are better able to express their expectations and understanding. In the course of the post-visitation meeting, Dr. Schachter and Prof. Zambrana were joined by Prof. Hilton White. The members of the instructional staff discussed the piloting and reiterated their highly positive perceptions which they had communicated in the Fall.

In the Fall pre-visitation, five students met with the evaluation team and shared their perceptions of experiences within the competency-based courses. The students expressed appreciation for the opportunity to have had course objectives communicated to them, and to have had experiences that directly related to the real world of work. The students were exhuberant about the value of their learning within the P.A. project classes and lauded the instructional staff for having so positively affected their lives, attitudes and competencies. In the Spring, Evaluation Team members also interviewed students and observed project classes. Interviews supported earlier perceptions.

Additional findings of the evaluation team are included in the subsequent sections of the report.

C. THE EMERGING DIMENSION OF "CAPACITIES"

In the Spring of 1977, students were enrolled in preliminary pilot project classes. Based on the public administration staff members' experience of teaching these classes, it was agreed that the learning packages must ultimately reflect a broad, multifaceted approach compatible with the abilities, knowledge, and Capacities reflected in the Competence-Based Areas (CBAs). Further, it was concluded that the tasks of the winter workshops, and follow-up activity, of identifying the components (or performance objectives) implicit in the TPUs, and designing assessment methods and criteria, be augmented to provide for more varied approaches to assessment and the acquisition of data, refined statements of criteria for assessing student performance, and further exploration of the emerging dimension of Capacities. Where it was deemed appropriate, the TPUs and their components were also to be refined, further.

The innovative concept of Capacities was not included in the original work plan submitted in August of 1976. The original proposal dealt only with the substantive competence-based areas, i.e., knowledge-based capabilities. Subsequently, the project director recognized the need to explicate the personal/professional attributes, or "Capacities," which, in fact, shape and characterize the performance envisioned in the CBAs; work proceeded to develop this second facet of the model. While staff was always aware that a comprehensive curriculum had to provide for the development of the personal/professional attributes of the individual administrator, and implicitly embodied much of what this entailed in the CBAs as defined in the TPUs, it did not proceed to articulate an explicit view of Capacities until the Winter of 1977.

Staff has now produced a working paper on Capacities which has been forwarded to the Advisory Council. Prof. Allen Wutzdorff, Chairperson of the Department of Behavioral Sciences at Alverno College, has assisted staff in the identification of Capacities within the structure of the CBAs. It has become apparent to all involved in the life of the project that the development of the system of Capacities has become one of the most innovative and significant of project achievements.

It was recommended that staff prepare materials leading to an enlarged and augmented taxonomy that will reveal the integration of Capacities within the structure of the CBAs. Towards this end, the project director has conducted workshops involving participating project faculty and staff, the project evaluator, and Prof. Wutzdorff. From these workshops, curricular constructs have emerged which are identified as Capacity "trees," or grids. Each of these grids shows how the evolution of one Capacity is projected within various TPUs in various CBAs, and shows how the presence of Capacities in the Public Administration curriculum reinforces and augments development that occurs at earlier levels. The analysis of the TPUs reveals that the knowledge based capabilities, described therein, are typically dependent on, and frequently inseparable from, certain strengths, habits of mind, and work styles that one finds in the successful public administrator. It is anticipated that these curricular constructs, or grids, will play an important part in future taxonomy drafts. The CBA grids, showing the presence of various Capacities in each of the CBAs, will also enhance these drafts as well as the learning packages of which they are a part.

In the Spring of 1978, Dr. Hindy Schachter of the P.A. project teaching staff conducted a Capacities Workshop. Staff met and, based on the experience of teaching the courses, the Capacity Grids were further revised.

It is important to note that, throughout the developmental process, revision of the Capacities has proceeded simultaneouly with revision, augmentation and refinement of the TPUs. In fact, revision of the TPUs and Capacities proceeded similarly. To illustrate, early revisions of the TPU system involved the rendering of each TPU more explicit by specifying a subseries of components for each TPU. At the same time, the project staff found it useful to be more explicit about defining a number of the Capacities and the ways they are apparent in classroom situations.

To summarize, the first statement on capacities articulated during the 1976-77 academic year listed nine items. Their scope and emphases were viewed as decidedly preliminary and, in fact, constituted a tentative map which was to be revised and refined, over time, based on actual experience in the realistic terrain of faculty/student and student/student interaction and learning. The next academic year, 1977-78, in which the learning packages for CBAs 2,3,4 and 6 were piloted, offered the first opportunity to carry on this work. Project faculty were requested to place an emphasis on the identification of concrete instances in which classroom or related activities directed toward student achievement in particular TPU components were also directed toward developing, strengthening, and initiating awareness of the importance of particular capacities. Faculty were asked to share these observations and their recommendations for revising the items in the Capacities listing based on these classroom experiences and the insights drawn from them.

Most of these courses had been taught by two or three different faculty by the end of the Spring, 1978 semester. The Project Director taught three of the four courses and the Coordinator of the Public Administration Program (now Deputy Chairperson of the Social Sciences Division) taught two.

The listing which follows, shows the system of capacities as revised after this year of experience.

Revised Capacities System for the Theory/Practice Curriculum Model

1. Can articulate and is aware of own values and those of others and to how these values relate to one's own and others' views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency responsibilities and actions are incongrous or consistent with these criteria.

*3a. Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues, programs and practices, and presents them with clarity and precision.

**5a. Is able to express simple and only moderately complex ideas, practices, situations, conclusions, etc. using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

**5b. Recognizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an on-going critique of one's own products and performance.

***9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem„ issue or situation

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* Drafted after 1977-78 pilotings. The original Capacity 3 relates to student development of a sense of purpose involving a system of ethics and goals grounded in democratic theory. The newer capacity, 3a, relates to student development of a more generalized sense of purpose and the importance of "purpose" or goals to all phases of public agency management.

** Drafted after 1977-78 pilotings. Although Capacities 5a and 5b may be viewed as implicit in Capacity 5 itself (as well as several other Capacities), it is, nonetheless, essential to explicitly recognize the importance of being able to write grammatical, professional prose and recognize nuances of professional language. If these Capacities are not made explicit, it is possible that their development will be taken for granted.

*** Drafted in June 1977.

At the June, 1978 workshop, participants identified and described for each CBA which had been piloted, the classroom, assessment, or other student activities which relate directly to student growth in a specified capacity.

A chart was prepared for each CBA (identified, as well, by its Medgar Evers course number) which incorporates the conclusions reached in the workhop after discussion and, in some instances, further refinement of the Capacities, to reflect contributions from various perspectives. These charts, included in the materials assembled for each of the learning packages, carry out the recommendation that additional materials of a taxonomical nature be developed to further refine and explicate the project's model. Consistent with this recommendation is a second series of charts, which are organized for each Capacity and "track" their movement through each CBA piloted. The latter charts are of special interest as they reflect the varied opportunities offered throughout the CBA sequence for students to grasp the importance and implications of each capacity and to gain relevant experience and knowledge.

Two additional points are worth noting in reference to the process implicit in the development of capacities. The full "Capacity," as formally described, is not fostered in each situation (i.e., TPU) in which it is found. In fact, only a facet is likely to be developed in the lower division CBAs (i.e., CBA 1 through 6). Thus, there is a rough developmental scheme which may be discerned. Furthermore, opportunities for reinforcement and development of the Capacities in various settings occur by design in order to contribute to genuine development (and not merely "programmed" performance.)

The four CBA/Capacity grids (for CBAs 2,3,4 and 6) and the twelve Capacity Development Charts constitute valuable constructs which greatly facilitate comprehension of the Theory/Practice Curriculum model, as noted above. The former can be found after each CBA. The Capacity Development Charts (i.e., "Capacities Draft Taxonomy") are included at the end of the Project's Final Report. The charts should be examined in conjunction with the following illustrative examples.

Capacity #1 is concerned with the awareness of values (i.e., one's own, and others) and their relationship to public policy positions and programs. In CBA 2, students examine diverse perspectives and motives which weave through the background and inception of a new statute, such as the Elementary and Secondary Education Act of 1965 and the issues which framed congressional debate on it; and they select a "new" program to advocate, from the perspective of a chosen role, and discuss the values which may be inherent in their own choices and those of others. In CBA 3, they learn to distinguish value statements from statements of fact in printed material, and to consider whether portions of a taped speech were appropriate to the values of a given audience.

The particular TPU (general syllabus objective) and component (specific performance objective) relevant to each of these developments is noted in the chart on Capacity 1 (as are similar instances in which this Capacity occurs in CBAs 4 and 6). Similarly, Capacity 6, which deals with theory and practice, and relationships between the two, can be seen in CBAs 3,4 and 6 (although it presumably will occur more frequently in upper division CBAs, i.e., 7-11). For example, disparities between the intent of the principle of merit pay and actual practice are discussed in connection with proposals for Federal Civil Service Reform. The purposes of Freedom of Information laws and the problems which arise in their implementation, as well as their implications, are studied in CBA 3. In CBA 6, students use a conceptual model. to study proposals and to write and critique a proposal abstract of their own, and also learn about tensions arising in the use of social research theory for the purpose of program evaluation.

D. THE DEVELOPMENT OF CBAs 1 THROUGH 6: THE LEARNING PACKAGES

The project director and staff have reviewed, edited, and contributed to each learning package. The TPUs, subsumed under each CBA (especially numbers 2,3,4 and 6) and their components (or performance objectives), have been significantly revised since their initial listing in Project Working Paper #3 of July, 1976. Project Working Paper #2 of July, 1976, discusses the "open systems" nature of competence-based education, the vital importance of ongoing consideration of a range of perspectives, and the need for revision based on growing insight and experience. In fact, this developmental process has been characterized by ongoing interaction and feedback of project staff involving faculty "team" members and consultants performing various kinds of tasks from different viewpoints, persons involved with other competence-based and/or professionally oriented and innovative programs in public administration, the liberal arts and other professional fields, college officials, students in pilot courses utilizing project materials, and both the independent evaluator and College Director of Institutional Research. As a result, the revised drafts of CBAs 2,3,4 and 6 were ready for piloting in the Fall of 1977.

It was recommended that funds in the third year be directed towards continued refinement of these learning packages consistent with a view of curriculum development as open-ended. It was further recommended that the process of refinement principally include revision of the theory/practice units (TPUs), components, assessment methods and criteria, and assessment instruments based on experience gained in teaching, continued review of the materials, analysis of data gained through piloting, the suggestions of members of the Advisory Committee and/or the Sub-Committee on Evaluation, informal responses of students to classroom and assessment situations and other research or situational insights grounded in the developmental process. The process of refinement has, in fact, continued. (The recommendations of the Evaluation Sub-Committee, based on the Fall and Spring on-site visitations, are embodied in Section IV of this report.)

Essential to any competence-based course of study is the availability of appropriate and relevant instructional materials. The curriculum being piloted is one of relatively few, at the undergraduate level in public administration, that is professionally and public service oriented, and is one of fewer which deliberately integrates theory and practice and attempts to build a foundation for life long learning and development. Because of the innovative nature of the theory/practice curriculum, and the recent emergence of public administration as an undergraduate field of study, there is a paucity of available instructional and assessment materials appropriate for use at this level which meet the goals of synthesizing public administration theory and practice. Even less exists which reflects a deliberate concern with integrating instruction in knowledge-based capabilities with the fostering of personal/professional strengths (i.e., in the vocabulary of the project, with

"Capacities"). Consequently, the project has proceeded to the tasks of adaptation and development of instructional and assessment materials in order to secure resources which are truly relevant to the professional education and intellectual/personal growth of public agency managers.

For instructional and assessment purposes, the project has been able to acquire materials (e.g., in house public agency documents, program evaluation reports, graduate-level case studies, funded proposals, Federal guidelines and regulations) which have been in the program.

The project implemented the recommendation to use outside consultants to undertake and assist in the acquisition, adaptation and/or development of additional instructional resources which were identified as necessary for piloting, revision or for dissemination of the project's model and curriculum materials. Tasks for consultants included acquisition of public agency materials, adaptation of public agency materials (e.g., production of explanatory paragraphs on program manuals, guidelines, etc.) and graduate-level readings that are suitable for the theory/practice curriculum, development of case-related materials and simulations relating proposals for funding to a conceptual model, development of assessment methods and criteria instruments and development of video tapes, and other instructional materials,

The scope of work in acquisition, adaptation and development

of materials proceeded on the basis of experience gained in teaching, continued review of materials, analysis of data gained through piloting, suggestions of members of the Evaluation Sub-Committee, and other situational insights grounded in the developmental process. The intent is to produce curricular materials which are suitable for use in a multiplicity of public administration programs, including (where appropriate) two-year programs, baccalaureate programs, practice-oriented M.P.A. programs, and in-service career development institutes and certificate programs.

The nature of consultant tasks is varied. In a manner compatible with last year's recommendation, the project used consultants with diverse viewpoints, each congruent with the individual task. For adaptation/development of case studies, and relating materials utilized in agency settings to theoretical constructs, the project used practitioners with high-level agency experience and college faculty in appropriate fields with a commitment to innovative, practice-oriented education. For assistance in acquisition and basic adaptation/development of curriculum material, the project used an entry-level practitioner with a baccalaureate degree in the field.

Ultimately, the materials produced and adapted can have wide use in the public administration community where such instructional materials are limited. Present indications are that the materials will indeed be utilized by other institutions.

At a recent Advisory Council meeting, several members commented on the historic importance of the project. Mr. Don M. Blandin, Special Assistant to the Assistant Secretary for Administration of H.U.D., noted that the learning packages have wide applicability in the education of urban administrators. Ms. Nancy S. Horowitz, Administrative Services Manager of the Stamford-Greenwich C.E.T.A. Administration, commented on the importance of the system of Capacities and the necessity of producing these learning packages to develop personal/professional attributes. All the members concurred that the model and the learning packages will eventually be used in diverse settings ranging from two-year to graduate level programs.

Consultants employed for the purposes of curriculum augmentation and materials development worked within clearly defined frameworks set by the project director, with the aid of staff. Together, the director and staff planned the scope and nature of the assignment and defined parameters, format, and tasks to be performed, suggested or provided materials, identified sample assessment methods and criteria, provided ongoing assistance in understanding the underlying ideas to help consultants in implementing elements of the project model, reviewed and edited successive drafts, and interrelated both the successive consultant drafts with the diverse contributions of agency practitioners, and program alumni. Consultants frequently submitted a draft on a first unit of work for review, comments and/or approval before proceeding to work on the remainder of the assignment.

Based upon inputs from consultants, further developmental work and pilotings, interaction with others engaged in related programs and projects, and the insights derived from experience to date, project staff also engaged in the following activities:

1. Continuously updated or refined the theory/practice curriculum model, e.g., revising and augmenting CBAs/TPUs and Capacities and the relationships among them (drawing upon consultant reports, classroom experience, evaluator and evaluation team suggestions, etc.) in learning packages 2,3,4 and 6.

2. Update the Capacity grids (drawing upon the same sources) which show how each Capacity is developed and reinforced at different levels of the CBA hierarchy, and develop grids for at least four CBAs (2,3,4 and 6) showing the presence, within each, of Capacities and their components.

3, Refine assessment approaches for use and adaptation in connection with various TPUs (and their components) of CBAs 2,3, 4 and 6, including methods, criteria and rating scales. In addition, project staff undertake (with consultant assistance, if necessary) such revisions as may seem appropriate in other segments of the learning packages and/or materials for use in connection with the various TPUs.

4. Identify and secure (as the need arises) instructional materials of various kinds, e.g., journal articles, books, agency

materials, and simulations, and make judgements as to their utility for CBAs 2,3,4 and 6.

5. Maintain communication with educators and practitioners with whom materials in innovative education can be shared.

6. Meet with the Evaluation Sub-Committee of the newly formed Project Advisory Committee to contribute to the ongoing evaluation of the pilotings and share, with the sub-committee, data derived from student assessment, materials previously adapted and developed by the project, situational insights gained, and other relevant information. This process of feedback and review with Sub-Committee members permits enhancement and augmentation of the competence-based courses both during and after the piloting of courses.

7. Meet with the independent evaluator and the Director of Institutional Research of Medgar Evers College in order to contribute to the design and monitoring of in-house systems to support the assessment of students, and acquisition and maintenance of evaluation data.

8. Provide data and materials to the independent evaluator for the production of evaluation reports and maintain a data base for both cross-sectional and longitudinal evaluation.

9. Disseminate the Theory/Practice Curriculum model, the learning packages and other project related materials. This in-

cluded dissemination of information about the project and the sharing of project materials at the National Association of Schools of Public Affairs and Administration (NASPAA) national conference. The Annual National Conference on Public Service Education, sponsored by NASPAA took place in Colorado Springs, Colorado, November, 1977. At the Conference, the Project Director, Dr. Greenhill, served as Convener of the "Track I Panel" on the "Theory/Practice Curriculum Project in Public Administration." Dr. Greenhill joined panelists in a presentation of papers descriptive of the pilot project, its content and innovations. Subsequently, Public Administration program administrators and faculty members with a commitment to the integration of theory with practice in professionally oriented programs, who attended the conference, were invited to explore the opportunity to utilize project learning packages (or portions of them) at their own institutions in the 1978-79 academic year.

Dissemination of information about the project and the curriculum model, as well as sharing of some of the project materials, was provided in the course of the National Conference of the American Society for Public Administration (A.S.P.A.), Phoenix, Arizona, April of 1978. The Brief Findings and Innovation Series session on "A Competence-Based Approach to Public Administration" was chaired by Dr. Philip Stander (in the absence of the originally designated chairperson) who spoke on the nature of the Theory/Practice Curriculum and its evaluation. Co-panelists were Dr. Eleanor V. Laudicina, Coordinator, Public Administration Program of Kean College of New Jersey, and Ms. Nancy Horowitz, Director of Planning and Evaluation, Stamford, Connecticut CETA. On the subsequent panel, Innovations in Teaching Public Administration and Public Affairs, Dr. Stander presented "A Model for Competency Based Instruction." After presentations, Professor Richard Sundeen, Panel Convenor, stationed each panelist at a table in order to facilitate further dissemination of information to those in attendance.

III. DATA ANALYSIS

Several kinds of data were generated to assess project effectiveness including demographic information, which revealed several characteristics of the target population, pre and post test data, which demonstrated the extent of student learning as a direct result of project activities, and attitudinal data, which provided insights into the nature of student reactions and opinions relating to their class experiences.

The assistance of Dr. Andrew Henderson, Director of Institutional Research, was invaluable in this process. Dr. Henderson assumed the major responsibility of data collection, data processing, inputting using the 3M sense reader answer sheets, close editing of data to assure accuracy and data reliability, data analysis as reflected in the computer printouts, and meetings with the independent evaluator prior to the preparation of this report.

A. Demographics and Student Attitudinal Survey

As observed by the evaluation team in the course of its pre and post visitations, the student population enrolled in the Public Administration Program is older than the average college student, consists of more females than males by almost a factor of two, has entered college with a low high school academic average, and a third is enrolled in a baccalaureate program.

The fact that 83.5% of the students in the program are older than the typical 17 to 21 year old range of college students, and have returned to formal education after a period of time, correlates with the highly positive responses on the Student Attitudinal Survey. That is, the Medgar Evers student is highly motivated, has entered higher education because of this high degree of commitment and is succeeding beyond expectancy given the low college admissions average of 71.20. Classically, the data supports similar findings in the literature that the high school average ought not be relied upon as the sole variable in predicting future academic success. Age, the degree of maturity and motivation, and the quality of subsequent educational experiences are variables that must be treated as well.

TABLE I

Public Administration Student Demographics by Gender

	N	Mean Age (yrs.)	College Admissions
Male	36	30.9	72.26
Female	66	33	70.15
Total	102	31.9	71.20

TABLE II

Public Administration Student Age Range

Age (yrs.)	Percentage
17 - 21	16
22 - 27	15
28 - 34	34
35 - 42	23
43 - 55	11
56+	.5
Unknown (missing)	1.5

TABLE III

Degree Sought by P.A. Students

Degree	N
A.A.	31
A.S.	23
A.A.S.	2
B.A.	14
B.S.	18
Unknown	14
Total	102

As Table III shows, about one third of the students are currently enrolled in a baccalaureate program and are committed to completing their course work in public administration. Information derived from the Student Attitudinal Survey: Part I, as reflected in Table IV, reveals that 93.0% of the respondents who are enrolled in P.A. courses identified themselves as P.A. majors.

The Student Attitudinal Survey form was designed by project staff in a manner compatible with the F.I.P.S.E. mandate in order to obtain student reactions and opinions of P.A. course experiences. Anonymity of response was assured. Of eight project classes taught during the Spring, 1978 semester, a total of four classes were surveyed, constituting a 50% sample (N=58). (The percentages listed in Tables IV and V represent an "adjusted frequency" excluding missing cases.)

As Table IV shows, 60% of the students surveyed have taken P.A. courses for no more than two semesters. Yet, during this relatively short period of time, they have developed strongly positive attitudes and perceptions about the program, as reflected in their responses to Part II of the survey. A comparison of Table IV (responses to Part I of the survey) and Table V (responses to Part II of the survey) suggests some significant correlations.

TABLE IV

STUDENT ATTITUDINAL SURVEY: PART I

(Frequency Distribution where N=58)

	1	2	3	4	5
1. Are you currently a Public Administration major?	93.0 (Yes)	7.0 (No)			
2. For how many semesters have you taken P.A. courses	18.2	41.8	5.5	23.6	10.9 (5 or more
3. Are you taking this course because you think some knowledge of P.A. is helpful to people in your field?	88.7 (Yes)	11.3 (No)			
4. How many times have you been absent from this course?	32.1 (0)	57.1 (1-2)	7.1 (3-4)	3.6 (7+)	
5. What grade have you earned in this course, to date?	22 (A)	64 (B)	12 (C)	2 (D)	

TABLE V

STUDENT ATTITUDINAL DATA: PART II

Frequency Distribution; N=58

Category Label: 1. Strongly Agree, 2. Agree, 3. Disagree, 4. Strongly Disagree

	1	2	3	4
6. This course maintained or increased my interest in Public Administration.	44.6	50.0	3.6	1.8
7. This course seems to be valuable for increasing my knowledge in Public Administration.	54.5	43.6	.0	1.8
8. Compared with other courses in the P.A. program, most students appeared interested in this course.	24.1	42.6	24.1	9.3
9. Teacher-student interaction in this course was very conducive to learning.	45.5	47.3	5.5	1.8
10. The learning material and the level of instruction helped to adequately prepare me for quizzes and final examinations.	43.6	45.5	10.9	.0
11. The way the materials were presented made it easy for me to understand.	42.6	44.4	11.1	1.9
12. The instructor is able to get and hold my attention throughout the class.	58.5	35.8	3.8	1.9
13. The instructional materials were well organized and easy to follow.	40.7	44.4	14.8	.0
14. This course was valuable and beneficial for a student taking a P.A. degree.	54.7	43.4	1.9	.0
15. The objectives for this course were clearly stated.	48.1	44.2	7.7	.0
16. This course met its specified objectives.	41.5	52.8	3.8	1.9

(Cont'd)

TABLE V (Cont'd)

STUDENT ATTITUDINAL DATA: PART II

Frequency Distribution; N=58

Category Label: 1. Strongly Agree, 2. Agree, 3. Disagree, 4. Strongly Disagree

	1	2	3	4
17. The principles and concepts developed in this course were well illustrated and explained in a way that I could grasp.	39.6	49.1	9.4	1.9
18. The quizzes, examinations and/or paper(s) in this course were well balanced; provided excellent opportunity to demonstrate possession of meaningful knowledge and understanding.	44.2	42.3	9.6	3.8
19. The information and knowledge gained from this course is or will be useful in a realistic job situation.	44.2	46.2	7.7	1.9
20. In this course, I have learned many new useful ideas and approaches applied to Public Administration.	39.6	50.9	7.5	1.9
21. The experience of taking this course has been of real personal and professional value to me.	48.1	40.4	9.6	1.9
22. The instructor's grasp of the subject and related fields was good; thorough and broad.	56.6	35.8	7.5	.0
23. Classes were conducted so that a student could share his/her experience.	50.9	32.1	17.0	.0
24. Compared to other courses that I have taken in the college, this course was conducted in a unique and stimulating way.	43.4	32.1	22.6	1.9

(Cont'd)

TABLE V (Cont'd)

STUDENT ATTITUDINAL DATA: PART II

Frequency Distribution; N=58

Category Label: 1. Strongly Agree, 2. Agree, 3. Disagree, 4. Strongly Disagree

	1	2	3	4
25. For a student in Public Administration, I feel that this course is of real value and should be taken to increase growth.	43.4	45.3	11.3	.0
26. The materials distributed in class were both helpful and useful.	50.0	44.2	3.8	1.9

As Table IV shows, 88.7% of the students enrolled in the course because they thought that "some knowledge of P.A. is helpful" to people in their field(item 3). The fact is that these students entered the course with high expectations which were fulfilled as reflected in the following responses:

Item 4 reveals that 89.2% of respondents were absent no more than twice in the course of the semester, with 32.1% maintaining a perfect record of attendance. The response to item 4, taken together with the response to item 6 (Table V), reveals that interest was maintained, i.e., 94.6% of the students stated that the course maintained or increased interest in Public Administration.

A correlation may also be found between responses to item 5 and 6, i.e., 86% of the students were apparently doing well and believed that they were earning a grade of B or higher by the semester's end, at which time the survey was administered. The high degree of success and interest represent apparent correlations. Both the expression of interest and the high degree of success correlate with the responses to item 2, i.e., students chose to continue as P.A. majors as reflected by the fact that 40% have taken P.A. courses for more than three semesters, with 23.6% having taken four courses and 10.9% having taken more than five courses. Apparently, the project classes are able to maintain a high degree of interest and assure a high rate of success with virtually no attrition as revealed in the above correlations. The following additional analyses of responses supports this finding.

The most positive response, with only one student expressing disagreement, was to item 7, i.e., all students, with one exception, agreed that "this course seems to be valuable for increasing my knowledge of Public Administration." Students were especially appreciative of teacher-student interaction; the response to item 9 shows that 92.8% agreed that the "teacher-student interaction; the response to item 9 shows that 92.8% agreed that the "teacher-student interaction in this course was very conducive to learning." Other items related to the teacher's performance yielded similarly positive responses:

Of the students responding to item 12, 94.3% agreed that "the instructor is able to get and hold my attention throughout the class." Of the students responding to item 22, 92.4% agreed that "the instructor's grasp of the subject and related fields was good, thorough and broad."

Of the students responding to item 17, 88.7% agreed that "the principles and concepts developed in this course were well illustrated and explained in a way that I could grasp."

In addition to the strongly positive assessment of their instructors, students appreciated the materials and their treatment, as reflected in the following responses:

Of the students responding to item 10, 89.1% agreed that "the learning material and the level of instruction helped to adequately prepare me for quizzes and final examinations." Given the generally negative reaction to items relating to testing that one finds in similar studies, it is significant to also note that not one student expressed "strong disagreement" with the statement.

Of the students responding to item 11, 87% agreed that "the way the materials were presented made it easy for me to understand." Of the students responding to item 13, 85.1% agreed that "the instructional materials were well organized and easy to follow."

The dramatically positive responses to item 26, correlated with items 10, 11 and 13, reveal the general agreement about the value of the materials, i.e., 94.2% (with only three students disagreeing) agreed that "the materials distributed in class were both helpful and useful."

In light of the fact that the competence-based program has made a conspicuous effort to specify objectives in order to assure greater, more effective learning, it was important to obtain student reactions to this feature of instruction:

Of the students responding to item 15, 92.3% agreed that "the objectives of this course were clearly stated." This correlates with responses to item 16, i.e., 94.3% agreed that "this course met its specified objectives."

Clearly, the responses to items 19,20,21,23,25 and 14 reflect the perception that the courses have, in fact, successfully integrated theory and practice. The following is especially significant given the fact that a number of respondents are actually employed in agencies and are practitioners:

Of the students responding to item 19, 90.4% agreed that "the information and knowledge gained from this course is or will be useful in a realistic job situation." Similarly, in responding to item 20, 90.5% agreed that "in this course, I have learned many new and useful ideas and approaches to Public Administration." In responding to item 21, 88.5% agreed that "the experience of taking this course has been of real personal and professional value to me." Examination of student responses to items 25 and 14 completes the correlational analysis of these five items and reveals the highly positive perception of the project's impact on student development, i.e., 88.7% agreed that "for a student in Public Administration, I feel that this course is of real value and should be taken to increase growth," and 98.1% agreed in responding to item 14, (with only one student disagreeing) that "this course was valuable and beneficial for a student taking a P.A. degree." (While only one student, represented as 1.9% of the adjusted frequency, recorded strong disagreement with 50% of the items, it is interesting that item 14 illicited no expression of strong disagreement and only one disagreement.)

In summary, correlational analysis of responses to the items of the Student Attitudinal Survey taken together with the findings of the Evaluation team, reveal the following:

The more mature students, especially those characterized as inservice, preceive the project classes as providing experiences which integrate theory and practice, relate readings to the real world of work, and provide materials which derive from and relate to the experiences of the practitioner. In addition, students perceive their teachers to be helpful, competent, knowledgeable and effective educators. They regard the clear identification of objectives in syllabi and class presentations as being extremely helpful permitting them to fully understand what is expected of them. The relationship between this perception and the degree of student success is clearly established.

B. Pre and Post Test Analysis

Pre and post tests were administered in the project classes by instructors during the Fall 1977 and Spring 1978 semesters. The tests, produced by project staff, with consultant assistance in some instances, are in an early stage of development and are designed to determine the degree of learning on a pre/post basis, given the specific course objectives. A comparison of the above analysis of attitudinal data with the following pre/post test analysis is revealing of the high degree of student and project success.

TABLE VI

Student Performance in the Public Administration Pilot Project, Fall 1977 and Spring 1978

Fall 1977

Course	N	Pre	Post	Gain Score	P-value
PA 105-001					
machine score	17	7.5	13.2	5.7	0.000
test rating	17	14.9	44.2	29.3	0.000
PA 120-001					
machine score	8	18.9	36.8	17.9	0.000
test rating	8	29.8	50.1	20.4	0.002
PA 201-001	5	11.6	25.0	13.4	0.022
PA 215-002	9	42.9	55.3	12.4	0.019

(Cont'd)

TABLE VI (Cont'd)

Student Performance in the Public Administration Pilot Project, Fall 1977 and Spring 1978

Spring 1978

Course	N	Pre	Post	Gain Score	P-value
PA 105-002					
machine score	16	14.9	20.6	5.7	0.000
test rating	16	13.0	26.6	13.6	0.000
PA 120-001					
machine score	20	31.1	32.9	1.8	0.699 (NS)
test rating	13	3.2	6.1	2.9	0.002
PA 201-050	18	11.5	22.4	10.9	0.000
PA 215-050					
machine score	17	32.0	43.2	11.2	0.000
test rating	17	7.4	32.3	24.9	0.000

As Table VI indicates, a total of eight classes provided pre and post test data. Since several students were absent from either the pre or post testing, they could not be included in the study. For example, if a student completed the pre-test but was absent at the time of post testing, he did not count as part of the total "N". Therefore, the total population included in this analysis is smaller than the total treatment group.

Note that, in some cases, a score and a rating are separated out for the section. This represents a separate analysis for the objective, machine scored subtest and one for the hand scored rating of the student. In several instances, it was possible to machine score all items, e.g., PA 215-002, and thereby obtain a combined score of all subtests.

In the case of PA 120-001 Spring section, the subtests were administered on different days, i.e., at the time of the pre-test, the machine scored subtest was administered on one day, and the hand scored subtest was administered on another. This accounts for the different number of student scores for each subtest.

The most cogent observation that obtains from a comparison of pre and post test scores (with the exception of the PA 120-001 Spring 1978 machine scored subtest) is that student gains are decidedly and dramatically significant. (The last column shows the P-value, or probability level, revealing the degree of significance where at least the 0.05 level is significant.) Great gains are found in both the machine scored and hand rated subtests.

An examination of the pre/post test instruments will reveal that important modifications were made to improve the measures prior to the spring testing. Therefore, the instruments utilized in the Fall pre/post testing are different from those used in the Spring in that several items have been omitted, others included, and several refined. No significant difference between the Fall and Spring semester gains is evident. What is apparent is that the student gains are great in both semesters. Close examination reveals, for example, that PA 105 had an N of 17 in the Fall and an N of 16 in the Spring, with an identical high gain score of 5.7 on the machine scored subtests in both semesters. As another example, PA 201 students obtained, in the Fall and Spring semesters, respectively, raw mean scores on the pre-test of 11.6 and 11.5, raw mean scores on the post-test of 25.0 and 22.4, and gain scores of 13.4 and 10.9. This constitutes similar and equally impressive gains.

Analysis reveals significant student achievement of project objectives in both areas of competencies and capacities, which the instruments seek to measure. In the future, and after a period of review and refinement, it is recommended that additional data be obtained through item analysis. Specific recommendations for future implementation are embodied in the following section.

IV. FINAL OBSERVATIONS, CONCLUSIONS AND RECOMMENDATIONS

A. Curriculum Development and Learning Packages

1. The competence-based public administration curriculum being developed and piloted attempts to integrate theory and practice throughout the learning experience. The curriculum model consists of the substantive Competence-Based Areas (CBAs), or knowledge-based capabilities, and the Capacities, or personal/professional attributes, which shape and characterize performance. The Capacities are at the first stage of integration within the curriculum. The project is exploring how the process of instruction in the substantive areas relates to the development of students' personal and professional capacities, of which nine have been tentatively identified.

2. The CBA learning packages are designed to meet the needs of diverse student constituencies, encompassing both traditional and non-traditional students, e.g., returning students, in-service and pre-service personnel, women and minorities. The learning packages appear to be carefully constructed to meet the needs of students interested in professionally oriented public administration programs.

3. Each learning package includes operationally defined educational objectives, assessment criteria and materials, and a variety of supplementary educational resources. Four learning packages have been developed and were piloted in the 1977-78

academic year at Medgar Evers College.

4. The instructional materials included in each learning package synthesize theory and practice in relating some of the theoretical concepts of public administration to practical problems encountered by public officials on their jobs. The learning packages provide the students with an opportunity to study public administration theory and concepts at the same time that they are exposed to practical materials and examples to aid in this learning.

> "In general," Dr. Carroll observed, "these materials do what they are supposed to do. The units tell the student about the subject matter. More importantly, however, they engage the student in exercises designed to increase the student's competence in the subject area, and to improve these students' capacity in the subject area."

5. The syllabi are very well organized for student and teacher use and clearly provide a course description, course objectives, the techniques to be used in realizing the objectives, and a topical outline descriptive of the various components of the course. Also included are references to optional materials for use by students (or faculty) who wish to pursue an issue or topic in greater depth.

6. In-service students who are familiar with the day-to-day problems of administering public programs are introduced to new ideas and insights assisting them to better understand the complexities of public policy making and implementation, and prepare them for more responsible positions and career mobility.

7. The learning packages appear to be highly suitable for transfer to other colleges and universities; each package is a self-contained unit which can be used in an individual course, and has built in flexibility with the identification of optional units of study. Optional units may be used depending on the extent of experience and expertise of the target student population (as well as the time parameters for study). With extended use, additional colleges will be able to modify some of the instructional materials in order to meet the needs of their institutions to change the emphasis on federal, state, county, or city government, and to such preferred areas as community development, drug education, and manpower development. In addition, some of the instructional material relating to New York City might be replaced by documents of greater relevance to the resident student population of the receiving institution. Dr. Carroll's concluding observation is especially relevant.

"I have had the opportunity to work in a variety of public administration departments in the past years, as well as to visit many such departments. I would judge that these materials would be useful in most of these departments ... " and "might also be useful in government training courses and the like."

8. The faculty currently teaching in the pilot program also participated in the development of the courses and CBAs. Several teachers felt that, as a result of their participation in the development of the project, they had developed a deeper

understanding about the nature of the teaching process even before the piloting experience. In addition, they found that teaching the pilot courses was facilitated because both students and faculty are able to focus on specific course objectives and specific assessment criteria. A great advantage was found in having materials which are keyed to these objectives.

It was also noted that teaching the competence-based courses has had a marked effect on how faculty teach other courses.

9. It is recommended that the process of augmentation and refinement of the curriculum continue, based on the current piloting experiences.

A number of recommendations for change have been made by the evaluation team as part of the process of formative evaluation, and change has been ongoing. While a number of changes have been made, some additional refinement is needed in the language of some of the objectives (i.e., components). Several TPU statements could be usefully edited to achieve even greater clarity and brevity.

10. The communications course appears to be solid, practical and manageable. It is recommended that TPU f be identified as optional for use at MEC.

11. It is recommended that, given the need for competency in communication skills, students complete English 100 before taking P.A. 100 courses, and enroll in English 150 as a co-requisite to P.A. 100 courses (if they have not as yet taken it). In the case of P.A. 215, it is recommended that English 150 be a pre-requisite.

12. It is recommended that, given the extent of the current fiscal crisis, some consideration be given to having students purchase those materials which are used in lieu of texts in order to help defray some of the reproduction and production costs.

13. It is recommended that a major grant be sought to allow for the continued research and development of the theory/practice approach to public administration education, The proposal should emphasize that funding over a long period is needed to implement the kind of major institutional change this approach represents.

14. It is recommended that program staff explore the possibility of an arrangement in which the B.S. degree program is linked to a Master's degree program in Public Administration and Public or Urban Affairs. Such arrangement should be made with the understanding that students will receive partial credit for upper division courses (such as those in the 400 series) toward the Master's degree.

In the event that this possibility should develop, then staff should explore the possibility of obtaining funding to develop the remaining CBA's in addition to field-testing the first group. In any case, such activities require really adequate financial resources and other back-up support in order to realistically expect successful completion of tasks.

B. The Evaluation Design, Process and Findings

1. The evaluation process, described in sections II and III, and in the appendix of this report, is designed to assess the impact of the program on students enrolled in the program. In the course of the field testing, efforts were made to determine the efficacy of the learning packages through use in the classroom and to examine the extent to which proposed learning objectives and materials can be covered in a semester with effectiveness. At the year's end, data analysis yielded additional insights:

2. Data derivative of the administration of the Student Attitudinal Survey reveal that the more mature students, especially those characterized as inservice, perceive the project classes as providing experiences which integrate theory and practice, relate readings to the real world of work, and provide materials which derive from and relate to the experiences of the practitioner. In addition, students perceive their teachers to be helpful, competent, knowledgeable and effective educators. They regard the clear identification of objectives

in syllabi and class presentations as being extremely helpful permitting them to fully understand what is expected of them. (Analysis in Section III clearly establishes the relationship between this perception and the high degree of student success.)

It is recommended that the Student Attitudinal Survey be slightly modified to include such additional demographic data as the extent and type of work experience and the identification of respondents as a preservice or inservice student so that additional correlations may be found.

3. Pre and post-test data analysis reveals significant student achievement of performance objectives in both areas of competencies and capacities, which the instruments seek to measure. The most cogent observation that obtains from a comparison of pre and post-test scores (with the exception of one machine scored subtest) is that student gains are decidely and dramatically significant. Great gains are found in both machine scored and hand rated subtests. (See the last column of Table VI which shows the P-value, or probability level, revealing the degree of significance where at least the 0.05 level is sgnificant. See also the "Gain Score" column for the degree of achievement.)

It is recommended that, after a period of further review and refinements of the tests, additional data be obtained through item analysis.

It is recommended that the computer program be expanded to provide a printout showing the number of credits a student has completed, grade average, reading and writing level as assessed by the college, and grades obtained in public administration courses. This information would make possible additional correlational analyses.

4. The program has innovated significantly by introducing video taped role playing and simulations.

It is recommended that instructors be thoroughly familiarized with the video equipment at the outset of the semester, and that the pre-test tape be viewed before it is shown to students in class. The tape should be ready to play when the students enter the class. Precautions need to be taken because the fact that the equipment is not working properly cannot be detected until the tapes are actually run. (Tapes can be inadvertently erased on defective equipment and must then be "reshot," necessitating an unfortunate reduplication effort and additional expenditure of funds.)

5. The program has also innovated significantly in developing conceptually-based formats for assessment keyed to critical aspects of professional practice. To illustrate, the project curriculum embodies the perception that there are few qualities more important to the public administrator than the ability to write simple, well-organized prose in professional ways. This is why writing using professional formats is stressed

as being the professional curriculum's analog of free-form essay questions. Students in CBA 4 (TPU (d), components 1-2), for example, augment job descriptions delineating additional job responsibilities and qualification requirements that would relate to the ethical and philosophical dimensions of various agency missions and/or program goals. In CBA 6 (TPU (b), components 1-3), students write a proposal abstract. The abstract includes: title, statement of the problem, objectives, procedures (i.e., program design or plan of operation) and dissemination.

If there is one Capacity perhaps even more essential to being an effective public administrator than the ability to write simple prose, it is the ability to understand nuances of meaning in printed, professional matter. The short-answer assessments (e.g., multiple choice, etc.) are almost uniformly designed to test for this Capacity; all answers are plausible and students must read carefully to choose the right one. The project also uses actual public agency materials (e.g., annual reports, public policy documents, options papers, job descriptions, etc.). Students become familiar with the particular vocabulary and organization of these various types of presentations.

6. A closely related observation is that the program makes use of rating sheets to formalize faculty judgments. The use of these rating sheets assures explicit and consistent criteria for use in assessing students. The data derivative of this process

may be treated with greater objectivity given the uniformity of treatment in contradistinction to the traditionally more subjective approaches.

7. The outside evaluation, conducted by the Evaluation Sub-Committee, was perceived as valuable for the external perspective it provided. Judgements of the team, embodied in this report, are being treated as developmental and as part of the formative process.

8. It is recommended that every effort continue to be made to measure, to the degree possible, the extent to which students' capabilities have been improved by this program.

C. The Impact on Students

1. The Medgar Evers College project involves what has been called elsewhere an "inverted curriculum," i.e., the introduction of professional studies, or the major, in the early or lower division studies, thus inverts the traditional liberal arts or general studies foundation of the baccalaureate major. Inversion is especially appropriate for in-service students returning to formal education who are attracted by the immediate focus on the realities of agency practice and the actual problems facing administrators..

It is recommended that "this unique feature" of the project, as Dr. Thomas advised, be highlighted and given greater public emphasis.

2. The target student population at the College, is heterogeneous with regard to age and experience. Most of the students are outside of the traditional 18 to 22 year old undergraduate student population. Many of them work full or part-time and attend classes in the evening. The perception shared by the project's teaching faculty is that the course objectives were sufficiently flexible to accomodate classes composed of students of diverse backgrounds and integrative of theory with practice. The materials include substantial theoretical bases and rather extensive supplementary (optional) readings. Materials available for instructors' use also include "optional" educational goals and objectives,

as well as still other readings, which can be assigned to individual students, as appropriate, or utilized with more advanced classes if desired.

It was observed that both pre-service and in-service students should benefit. As Dr. Ross stated, "for pre-service students, it is an innovative introduction to higher education and to a public administration curriculum in particular." For pre-service students, a realistic career choice is fostered through a curriculum, materials, ideas, readings and simulations which include a "practice" element (and which students continue to experience over a cumulative four year period of development in their major). Their relevance and value for in-service students, and implications for illuminating current work experience while contributing to prospects for career advancement is also clear.

The concensus reached was that in-service students are even greater beneficiaries. As. Dr. Carroll noted, "experienced students benefit substantially from this approach. By experienced students I mean students who have had considerable work experience, or are currently employed in a professional capacity. It is apparent to me that a good number of students have benefited very substantially from this program."

To assist the pre-service students who come to the program with little, or no, prior experiences in the field, the following are recommended:

a. That the distribution of the quantitatively substantial reading materials be staggered over the course of the semester and at the appropriate time to avoid overwhelming the student at the semester's outset (as was done in most cases).

b. That P.A. 105 be offered as an upper level course due to the advanced level of materials and course content.

c. That the materials would be even more useful to pre-service students, if the students were required to serve an internship while they were taking courses, or in between courses, such as in the summer. The undergraduate cooperative education program affords such an opportunity and is administered by HEW through most undergraduate colleges. The conclusion reached, at this time, is that the competence-based curriculum being tested could be successfully taught in other colleges and universities with diverse student populations.

3. It is recommended that staff use a "diagnostic/prescriptive" approach, i.e., that each student be informed of the pre-test results, at the beginning of the semester, and be provided with an interpretation of the scores in order to better understand areas of strength and weakness. The instructor will then be able to help the student to understand how to build on strengths and overcome weaknesses. The instructor's interpretation of high and low scores on the various pre-tests may then be followed by instruction stressing work on appropriate Theory/Practice Units to assure subsequent learning.

4. The Evaluation Team interviewed students whose uniform enthusiasm for the program was impressive. (Team members spent a longer period of time with students than originally scheduled in order to follow a line of inquiry that would carefully determine the reasons for such exhuberance.) The following perceptions were obtained from students in the course of interviews, as summarized by Dr. Ross:

a. The clearly stated course objectives and assessment criteria provide students with a better understanding of what is expected of them.

b. The use of instructional materials drawn from the real world assists the student in relating public administration theory to practice.

c. Faculty use of practical examples to highlight and illuminate major concepts make the course much more stimulating than traditional approaches.

d. Some of the students compared their experiences in courses outside of the program. All agreed that the public administration learning packages were more interesting, better constructed, and directly relevant to their work, or their career choices.

As Dr. Thomas concluded, "the evaluators are impressed with the amount of work and commitment given to the project by the staff. We recognize the importance of the work not only for general curriculum development in public administration but especially for its potential contributions to more effective delivery of public management professional education to widely disparate clientele groups, especially older, in-service minority students for whom mobility access is important.

"This project demonstrates important possibilities for designing curricular offerings a) for widely varying client needs and, b) for the returning in-service, upwardly mobile student who did not go directly from high school to college and professional studies."

The following stands as a consumate appraisal of the project from the vantage point of a practitioner, Ms. Nancy Horowitz, Director of Evaluation and Planning, CETA, Stamford, Connecticut, and member of the evaluation team:

"Any evaluation of this project must recognize that its main goal is nothing less than the re-orientation of an entire educational system. The theory/practice approach to public administration education makes some very compelling statements to its students and to those who are attempting to evaluate the Project in its totality. It says to students that each one of them is important to the field; that their involvement in the field is truly desired; that gaining professional credentials in public administration is a process of acquiring knowledge about how to function successfully in the public agency arena and thus to be able to affect what goes on in that arena; that public administration education is not a sharing of obscure concepts by an elitist group, that everything that goes on in a public agency within a democracy must be relevant to the very real practical concerns of the people who comprise that democracy; that students of diverse backgrounds are needed and welcome in the profession."

D. Dissemination of Materials

In light of the FIPSE mandate to widely disseminate the products of the project, the following are recommended:

1. That a mailing be sent to regular public administration faculty and administrators regarding the existence of the Project. It is recommended that this be done via NASPAA institutional representatives or undergraduate section representatives. Dissemination to practitioners via other organizations should also be explored (e.g., ICMA, U.S. Civil Service Commission).

2. That a presentation be made at the next NASPAA national convention on the Project experience.

3. That a detailed article of explication on the Project be authored by its director for publication in a major public administration journal, such as the Public Administration Review.

4. That project funding be utilized to allow for the dissemination of the materials and insights developed during the life of the Project to all interested parties. Specifically, monies will need to be spent to allow for printing within (or outside) the College and, of

course, for postage. (It will not be necessary to copy every piece of literature used in each course since much is available to all via regular channels for the dissemination of governmental publications. Reliance on regular channels is also advisable to assure that materials used in future courses will be current and adjusted to varying local needs as appropriate.)

This evaluation shall be viewed as an early step in the development and evaluation process of the project, in recognition of the complex, innovative, and time consuming nature of what has been undertaken and the various facets of development which it embraces, and the span of years realistically necessary for conscientious development, refinement and revision in a project of this nature.

The redefining of educational objectives, and the development of innovative instructional resources and assessment techniques, criteria and instruments for professionally-oriented undergraduate public administration curricula is a relatively new and challenging field. It is anticipated that, as a result of insights obtained in the course of piloting and field testing, a range of possibilities will become evident, in addition to those identified in advance, as well as questions or issues for further development or study. "Situational insights" on various issues may well emerge, e.g., the relation between student characteristics and the realization of course objectives. As teaching staff come to grips with such variables as student abilities, the semester's calendar and time constraints, the learning packages (or portions of them, as appropriate) may be modified, accordingly.

As Dr. James D. Carroll (Director of the Department of Public Administration, Maxwell School of Citizenship and Public Affairs, Syracuse University and member of the evaluation team), concluded, "this was an excellent project in conception and execution. It constitutes a substantial contribution to the field of education for public service at the undergraduate level ... I think the project officers at the Fund and Muriel Greenhill should be congratulated upon this imaginative program."

It is anticipated that subsequent field testing, after the 1977-78 academic year, will yield additional, significant data that will reflect the impact of this innovative curriculum on public administration students. It is further anticipated that dissemination of the materials which comprise the theory-practice curriculum will give it high visibility in the public administration community and in colleges and universities offering two year, baccalaureate, and practice-oriented master's level programs in public administration.

TPU's and Components

Competence-based Area 2
Implementing Statutory Programs and Policies, Part I

TPU (a) The ability to understand the processes, perspectives and formats utilized in the genesis of a proposed new publicly funded, national program suitable for Federal legislative action; and to prepare a brief presentation advocating such a program utilizing a conceptually-based format.

Component 1: To be able to express and/or recognize diverse prespectives on the need(s) and scope of proposed new programs based on varying socio-economic interest, geographical location, etc., etc.

*Component 2: To be able to advocate a new Federal program reflecting a particular perspective and problem or need utilizing a brief professional format.

Component 3: To be able to understand and recognize key terms and concepts utilized in public program analysis.

TPU (b) The ability to understand the governmental processes through which a publicly funded program is shaped and enacted into law.

Component 1: To be able to understand the operations of legislative branch process in the introduction, consideration, and passage of new statute-based, publicly-funded programs.

Component 2: To be able to understand presidential initiative(s) and executive-legislative branch interaction in formulating proposals for a new, statute-based, publicly-funded program.

TPU (c) Ability to identify and understand the component elements of a major federally administered statute-based program which provides direct benefits to urban residents through day to day administration by a public agency at the state or local levels.

Component 1: To be able to understand and recognize the most common components of an appropriate statute-based program.

Component 2: To be able to analyze the policy/purpose section(s) of a statute; to be able to identify the problem or need which it addresses and the approach described for meeting it.

Component 3: To be able to recognize direct mandates to the heads of agencies charged with program implementation and to distinguish them from prohibitions, delegations of authority and limitations on authority based on steps to be taken or conditions to be met.

* This component is covered in an in-semester examination which is worth 12% of the grade for the course and is not in the pre/post.

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CBA 2-TPU/Components cont'd.

TPU d - Ability to comprehend [and articulate]* major policy issues and areas which arise during the formulation, debate and passage of a proposed program, alternative approaches considered, the influence of issues and underlying values on the laws as passed (e.g., intergovernmental responsibilities and relationships), and on subsequent proposals for revision and/or augmentation of existing programs.

Component 1. To be able to grasp [and frame]* the policy issues and alternatives (their underlying beliefs and assumptions) which characterized debate, on enactment of statute-based programs.

2. To be able to recognize the ways in which policy issues and values influenced the passage and evaluation of statute-based programs and subsequent proposals for revision and/or augmentation of existing programs.

TPU e - Ability to understand the steps which must be taken and the procedures which must be followed in order to effectively initiate the implementation of a program based on a Federal statute.

** Component 1. To be able to recognize [and understand]* the steps taken by the federal administering agency in defining and resolving remaining issues of policy and program strategy some of which arise from ambiguous statutory language.

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* TPU and components were revised (Spring '78); and abilities in brackets are to be developed and assessed at the discretion of the instructor.

** Omitted, MEC syllabus.

TPU (e), components cont'd.

2. To be able to recognize [and understand]* the appropriateness of and need for steps taken by the federal administering agency to ensure that its structure is congruent with the demands of the new program and the possible need for reorganization, and adaptation occasioned by the needs of the new program.
3. To be able to recognize [and understand]* the appropriateness of and need for steps taken by the federal administering agency in appraising the existing agency work force so that it is congruent with the manpower needs occasioned by the new program.
4. To be able to recognize [and understand]* the appropriateness of and need for steps taken by the federal administering agency to relate the needs of the new program to existing extra-agency constituencies and relationships and initiating new structures, relationships and activities as appropriate.
5. To be able to recognize [and understand]* the appropriateness of and need for steps taken by the federal administering agency in the development of standards, processes, procedures and materials for the in-house administration of the new program.
6. To be able to recognize [and understand]* the appropriateness of and need for steps taken by the federal administering agency in formulating and issuing regulations and guidelines, and information statements for the administration of the new program.

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* TPU and components were revised (Spring '78); and abilities in brackets are to be developed and assessed at the discretion of the instructor.

Rev. 6/78 Medgar Evers College Fall '78

of

The City University of New York

Public Administration 120 - Statutory Analysis and Program Implementation I

3 hours
3 credits

Syllabus

1. Course Description

The course views the process of public program development from its legislative origins to federal and state administrative implementation. The role of the federal government in fostering programs, as well as state and local participation, is studied. Techniques of statutory analysis and interpretation are utilized.

Co-requisite: Eng. 150, Pre-requisite: P.A. 103 or P.A. 105

2. Course Objectives

Unit A - To develop the ability to understand the processes, perspectives and formats utilized in the genesis of a proposed new publicly funded, national program suitable for Federal legislative action; and to prepare a brief presentation advocating such a program utilizing a conceptually-based format.

Unit B - To develop the ability to understand the governmental processes, including executive-legislative branch interactions through which a proposed publicly funded program is shaped and enacted into law.

Unit C - To develop the ability to identify and understand the component elements of a major Federally administered statute-based program which provides direct benefits to urban residents through day to day administration by a public agency at the state or local levels.

Unit D - To develop the ability to comprehend major policy issues and areas which arise during the formulation, debate and passage of a proposed program, alternative approaches considered, the influence of issues and underlying values on the laws as passed (e.g., intergovernmental responsibilities and relationships), and on subsequent proposals for revision and/or augmentation of existing programs.

Unit E - To develop the ability to understand the steps which must be followed in order to effectively initiate the implementation of a program based on a Federal statute.

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Syllabus cont'd.

Methodology

Lecture-discussion method supplemented by student reading and analysis of relevant works in the public administration literature, Federal statutes which create programs and other governmental documents. Analysis of statutes is an integral part of the course.

4. Topical Outline

I. The processes, perspectives and formats utilized in the genesis of a new federally-funded national program

   a. diverse perspectives on the need(s) for and scope of proposed new programs based on varying socioeconomic interest, geographical location, etc., etc.

   b. need for an advocacy of new program proposals reflecting diverse perspectives or needs to be met and/or problems to be solved through Federal intervention.

   c. formal presentations at the federal level on needs to be met and/or problems to be solved through Federal legislative action.

II. Governmental processes through which a proposed, publicly-funded program is shaped into law

   a. Presidential initiative(s) in proposing a new Federal program.

   b. Executive-legislative branch interaction in formulating proposals for a new, statute-based, publicly-funded program.

   c. Legislative branch process in the introduction, consideration, and passage of new statute-based programs.

III. The component elements of federally-administered, statute-based programs; statutory requirements concerning processes and procedures in connection with the implementation of federal programs.

   a. recognizing and understanding key concepts and definitions of component elements of federal programs.

   b. analyzing broad policy and stated purposes of new programs created by federal statutes.

   c. recognizing and differentiating delegations and restriction of authority of agency heads in implementing new federal programs

Topical Outline III cont'd.

d. identifying goals and strategies of new federal programs.

e. benefits and criteria for participation on federal programs.

IV. Key policy issues in federal program formulation and passage.

a. the identification of key issues and alternatives which arise in the evolution of federal legislation creating a new federal program.

b. the resolution or partial resolution of key policy issues in the passage of federal legislation creating a new program.

c. influence of policy issues and underlying values on proposals for revision and/or augmentation of existing programs.

d. identification of issues which arise in the implementation of (existing) federal programs.

V. Implementation at the federal level of new statute-based programs.

a. delineating the major tasks and challenges facing top agency officials and managers charged with responsibility for implementing the new program.

b. analysis and appraisal of existing federal agency structure and present agency work force resources in relation to new program implementation needs.

c. appraisal and modification of external relationships by federal agencies to meet the needs of the new program.

d. development of procedures, standards, processes and materials for implementation of the new program.

e. the formulation and issuance of federal regulations and guidelines in connection with the implementation of a new program.

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Syllabus cont'd.

P.A. 120
Fall '78

Required Reading

Students are to purchase Stephen Bailey and Edith Mosher. ESEA: The Office of Education Administers A Law. Syracuse: Syracuse University Press, 1968. All other required readings will be distributed in class.

Unit (a)

1. Bailey & Mosher, ESEA: The Office of Education Administers A Law, Syracuse University Press, 1968, pp. 1-36.
2. Congressional Record. Excerpts from 9/21/77, Vol. 123, pp. H-9733, S-15229, S-15231, S-15246.
3. Congressional Record Index. Excerpts from 8/1 - 8/18/77, Vol. 123, pp. XV, HB-17.
4. "The Teachers' Message to HEW,", Thomas Y. Hobart, New York Teacher, Albany, N.Y., 1977.
5. "A Compilation of Materials Relevant to S.2642, 88th. Congress, 2nd session, U.S. Government Printing Office, Washington, D.C. 1964, pp. 1-6, 35-41.
6. Hearings before the Committee on Foreign Relations of the U.S. Senate on S. 1154, 87th Congress, First Session, U.S. Government Printing Office, Washington, D.C., 1961, pp. 1-7, 9-14.
7. Education of the Deprived and Segregated (The Dedham Conference) Cooperative Research Project, No. G-021, Bank Street College of Education, N.Y., 1963, pp. 5-19.
8. Innovation and Experiment in Education. A Progress Report of the Panel on Educational Research and Development to the U.S. Commissioner on Education, the Director of the National Science Foundation and the Special Assistant to the for Science and Technology. U.S. Government Printing Office, Washington D.C., 1964. Title Page, Preface, Contents, pp. 3-7 and 59-60.
9. Glossary: Terms #4,5,6,7,9,12,19,21,26. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 4 pages).

Unit (b)

1. Bailey & Mosher, ESEA: The Office of Education Administers A Law, Syracuse University Press, 1968, pp. 37-48.
2. How Our Laws Are Made, U.S. Government Printing Office, 1974, Title page, Foreword, Contents, p. 1, 5-8, 10-15, 18, 34, 35, 38-41, 46, 47, 54-70.
3. "The Conference Committee Is a Venerable Institution," Adam Clymer, New York Times, October 23, 1977.

Unit (c)

1. Bailey & Mosher, ESEA: The Office of Education Administers A Law, Syracuse University Press, 1968, pp. 49-58, and Appendix A, Public Law 89-10: The Elementary and Secondary Education Act of 1965.
2. Economic Opportunity Act of 1964, and "mark-up" of this statute linking terms utilized in program-oriented statutory analysis to key sections of the Act." Theory/Practice Curriculum Project, Brooklyn, New York, 1977 (offset 12 pages).
3. Glossary: Terms #1,2,3,8,10,11,13,14,15,16,17,18,20,22,23,24,27. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977 (offset 4 pages).

Unit (d)

1. Bailey & Mosher, ESEA: The Office of Education Administers A Law, Syracuse University Press, 1968, pp. 58-71.
2. "Issues in Welfare Reform." Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 19 pages).
3. "Colleges in Conflict Over Federal Role," Gene I. Maeroff. New York Times, September 6, 1977
4. "Schools Beginning a Crucial Year as Dispute on Federal Role Grows," Gene I. Maeroff. New York Times, September, 1977.
5. Statement of Mission of An Agency. Office of Economic Opportunity. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 1 page).
6. "Califano-Brademas Fight Shows Tension Over Government Roles". David E. Rosenbaum, New York Times, October 24, 1977.

Unit (e)

1. Bailey & Mosher, ESEA: The Office of Education Administers A Law, Syracuse University Press, 1968, pp, 73-142, and Appendix B, ESEA Regulations and Guidelines.
2. Babbidge Report. A Federal Education Agency for the Future. U.S. Office of Education, Committee on Mission and Organization, 1961, pp. 1-8.
3. "Snag Over Funds Is Said to Hurt Two Federal Agencies, New York Times, Steven V. Roberts, December 2, 1977.
4. Glossary: Term #25. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 4 pages).
5. "Carter Approves Plan to Change the Way U.S. Issues Regulations," David Burnham, New York Times, October 10, 1977.
6. Correspondence from Secretary Califano regarding Operation Common Sense to Charles F. Bonser, President of NASPAA, and his response. September 27, 1977.

6. Supplementary Reading

1. Babbidge Report. A Federal Education Agency for the Future. U.S. Office of Education, Committee on Mission and Organization, 1961, pp. 9-55.

2. Community Action Memos, #8, 8-1, 9-A, 18, 20, 22, 27, 28, 39, Washington, D.C., U.S. Office of Economic Opportunity, 1964-1967.

3. "Compilation of Materials Relevant to S. 2642, 88th Congress, 2nd Session, U.S. Government Printing Office, Washington, D.C. 1964, pp. 7-34, 41-77.

4. Hearings before the Committee on Foreign Relations of the U.S. Senate on S. 1154, 87th Congress, First Session, U.S. Government Printing Office, Washington, D.C., 1961, pp. 8, 15-238.

7. Assessment

1. Advocacy Paper = 15%
2. Quiz on unit b = 15%
3. Quiz on unit c = 15%
4. Quiz or exercise on unit d = 15%
5. Quiz or Exercise on unit e = 15%

25 per cent of the grade will be based on the Final Exam.* The remaining 75 per cent will be based on the above.

* In addition, credit will also be given in the final grade for the degree of growth and progress during the semester (1 point added for each 10 points of growth, based upon pre/posttest scores) and from 1 to 4 points may be added for exceptional class participation, at the discretion of the instructor.

Revised 6/78

TPUs and Components

Competence-based Area 2
Implementing Statutory Programs and Policies, Part I

TPU (a) The ability to understand the processes, perspectives and formats utilized in the genesis of a proposed new publicly funded, national program suitable for Federal legislative action; and to prepare a brief presentation advocating such a program utilizing a conceptually-based format.

Component 1: To be able to express and/or recognize diverse prespectives on the need(s) and scope of proposed new programs based on varying socio-economic interest, geographical location, etc., etc.

*Component 2: To be able to advocate a new Federal program reflecting a particular perspective and problem or need utilizing a brief professional format.

TPU (b) The ability to identify the governmental processes through which a proposed publicly funded program is shaped and enacted into law.

Component 1: To be able to identify presidential initiative(s) and executive-legislative branch interaction in formulating proposals for a new, statute-based, publicly-funded program.

Component 2: To be able to identify the operations of the legislative-branch process in the introduction, consideration and passage of new statute-based, publicly funded programs.

TPU (c) Ability to identify and understand the component elements of a major federally administered statute-based program which provides direct benefits to urban residents through day to day administration by a public agency at the state or local levels.

Component 1: To be able to recognize and understand key concepts and definitions of common component elements of an appropriate statute-based program.

Component 2: To be able to analyze the policy/purpose section(s) of a statute in terms of being able to identify the problem or need which the statute addresses, the broad public objective(s) to be achieved by the program and the approach deemed best for achieving them.

Component 3: To be able to recognize direct mandates to the heads of agencies charged with program implementation and to distinguish them from prohibitions, delegations of authority and limitations on authority based on steps to be taken or conditions to be met.

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* This component is covered in an in-semester examination which is worth 15% of the grade for the course, and is not in the pre/post.

TPUs and Components, CBA 2 (cont'd).

Component 4: To be able to recognize goals and strategies delineated within the body of a federal statute that creates a major new program.

Component 5: To be able to recognize eligibility criteria for benefits and statements of benefits to participants in a federal statute that creates a major new program.

TPU (d) Ability to comprehend major policy issues and areas which arise during the formulation, debate and passage of a proposed program, alternative approaches considered, the influence of issues and underlying values on the laws as passed (e.g., intergovernmental responsibilities and relationships), and on subsequent proposals for revision and/or augmentation of existing programs.

Component 1: To be able to identify the policy issues and alternatives (including the beliefs and assemptions which serve as a foundation for these issues and alternatives) which arise during the evolution of, and consequent debate, concerning legislative enactment of statute-based programs.

Component 2: To be able to recognize the way in which key issues are resolved or partially resolved in the passage of federal legislation creating a new program.

Component 3: To be able to recognize the influence that policy issues (and underlying values) have on evaluation of statute-based programs and subsequent proposals for revision and/or augmentation of existing programs.

Component 4: To be able to identify policy issues that arise in the implementation of existing federal programs.

TPU (e) Ability to identify the steps which must be taken and the procedures which must be followed in order to effectively initiate the implementation of a program based on a federal statute.

Component 1: To be able to identify major tasks and responsibilities facing top agency officials and managers who will be implementing the new program.

Component 2: To be able to recognize the appropriateness of and need for, steps taken by the federal administering agency to ensure that its structure is congruent with the demands of the new program and the possible need for reorganization, and adaptation occasioned by the needs of the new program.

Component 3: To be able to recognize the appropriateness of and need for steps taken by the federal administering agency in appraising the existing agency work force so that it is congruent with the manpower needs occasioned by the new program.

TPUs and Components, CBA 2 (cont'd).

Component 4: To be able to recognize the appropriateness of and need for steps taken by the federal administering agency to relate the needs of the new program to existing extra-agency constituencies and relationships and initiating new structures, relationships and activities as appropriate.

Component 5: To be able to recognize the appropriateness of and need for steps taken by the federal administering agency in the development of standards, processes, procedures and materials for the in-house administration of the new program.

Component 6: To be able to recognize the appropriateness of and need for steps taken by the federal administering agency in formulating and issuing regulations and guidelines and information statements for the administration of the new program including the ability to recognize and distinguish between the generic characteristics of regulations, guidelines and other types of information statements (e.g., menoranda).

The Assessment Method & Criteria Section relates to the Pre/Post Examination and should be viewed in conjunction with each unit of the Pre/Post.

TPU (a)

Assessment Method and Criteria

Method: Multiple Choice

Criteria: a. Questions deal with the various types of actors (e.g., constituencies, proponents of a new program, etc.) involved in the processes relating to the creation of a new publicly funded program suitable for federal legislative action. Questions ask students to relate the varying perspectives of some of these actors to measures which various groups might be expected to advocate. Other questions deal with the formats used in the creation of a proposed new program including, for example, asking students to identify types of material that should be included in testimony before a congressional committee or hearings of various types. Questions test student ability to identify key terminology related to this TPU, e.g., policy rationale.

b. 1. Can the student identify key terminology, concepts and definitions relating to the processes, perspectives and formats used in the genesis of a proposed new publicly funded program?

2. Can the student apply generic concepts to a particular case?

3. Can the student distinguish between material that it is appropriate to present in certain formats relating to the creation of new programs and material that it is inappropriate to include at that time (or in that place)?

TPU (b)

Assessment Method and Criteria

Method: Multiple Choice and True-False

Criteria:

a. Questions deal with legislative-executive branch interaction in the initiation and enactment of new "program" legislation. For example, questions may refer to such topics as: (1) the tasks performed by Commissioner Keppel in relation to the ESEA, (2) the role of the Conference Committee, (3) congressional subcommittee transmission of new bills to federal departments/agencies and the OMB, and (4) actions by individual members of Congress in response to constituents' requests for new laws or legislative amendments.

b. Criteria for assessing students include:

   i. Students should be able to identify various roles and actions taken by the president and high-ranking members of the Executive Branch in relation to initiation and passage of new "program" legislation.

   ii. Students should be able to identify terms and understand the legislative process through which a bill becomes a law in the United States.

Assessment Method and Criteria

Method: Completion, Matching, Identification

Criteria: a. The student must complete statements about distinct elements or characteristics of a public program created by Federal statute. Students are also given a list of terms used in analyzing statutes which create new programs, and a number of phrases from selected, relevant statutes. Students must match the phrase with the term that best describes it. The students also must select three correct elements (from a list of 6 correct and incorrect elements) which can be identified in a typical statement of policy or declaration of purpose at the beginning of a statute which creates (or amends) new programs. The student then underlines and brackets each element in a specific declaration of purpose giving the correct letter for each.

Questions center on identifying and grasping the basic components of federally administered, statute-based programs, such as declarations of policy; programs goals, definitions, etc., in key titles, e.g., of the Economic Opportunity Act or the Elementary and Secondary Education Act.

b. Criteria for assessing students include:

1. Demonstrating knowledge of the content and applicability of key concepts and definitions used in design and analysis of Federal programs and the statutes which create them.
2. Demonstrating ability to recognize key concepts and definitions in Federal statutes which create programs in terms of applying them to identification of and matching with the words and phrases to which they relate.

Assessment Method and Criteria

Method: True/False and Multiple Choice

Criteria: a. The student answers questions dealing with major policy issues pertaining to programs created by Federal statutes.

b. Criteria for assessing students include:

1. Demonstrating awareness of key issues which contribute to debate and decisions on the goals, scope, and effect(s) of major federal statute-based programs (and underlying policies) and of the assumptions and beliefs on which they rest.
2. Demonstrating appreciation of the various alternatives which may arise and receive consideration in resolution of policy issues in new federal program legislation or proposals for revision.
3. Demonstrating recognition of appropriate and realistic decisions made to resolve policy issues in connection with the creation (and/or revision) of major federal statute-based programs.

Assessment Method and Criteria

Method: Matching, Multiple Choice

Criteria: a. Students are given a list of steps, some of which have to be taken in the implementation of new federal programs such as the Elementary and Secondary Education Act of 1965, and others which do not have to be performed. Students are asked to match each step with one of the following four conditions: a) Necessary (i.e., in the implementation of new federal programs); b) Quite Possible; c) Unlikely and d) Unnecessary.

Students are also given multiple choice questions dealing with fundamental principles regarded as highly important throughout the formulation of program policies, guidelines and procedures and the abilities and resources which administrators need to meet the challenges of implementing complex new federal programs.

Students are given a series of statements identifying generic characteristics of federal guidelines, regulations, ad hoc memos, etc. (For example: President promulgates them.) For each generic statement, the student must indicate whether it pertains to: a) Regulations; b) Guidelines; c) Both; or d) Neither.

b. Students are assessed on their ability to:

1. distinguish and differentitate among steps which are necessary to effective implementation, those which are quite possible, those which are unlikely and those which are unnecessary.
2. distinguish and differentiate between regulations and guidelines.
3. appraise nuances of language in relation to implementation of new programs (e.g., to be able to appraise the difference between necessary and quite possible and the significance of this difference in relation to implementation).

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 2 - TPU (a)
Component 1

____Fall 19____

Pre-test____ Post-test____

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____Summer Term 19____

Instructions

For each question choose the best answer and fill in the appropriate choice on the answer sheet.

1. In the course of Congressional committee hearings on amending the scope and and financial assistance provided by the National Defense Student Loan Program, appearances might well be made by:

   a) bankers
   b) proprietary junior college owners
   c) anti-poverty program officials
   d) a) and c) above
   e) a), b), and c) above

2. Proponents of a new program designed to curtail the ill effects of smoking cigarettes could be expected to advocate:

   a) removing price supports from tobacco cultivation
   b) increasing taxes on the sale of cigarettes
   c) expanding in-school education programs on the dangerous side-effects of smoking cigarettes
   d) requiring "no-smoking" areas in all public places
   e) all of the above

3. In presenting the need for new (or amended) public programs at hearings of various types, it is always appropriate to include the following:

   a) a detailed analysis of the costs of the proposed program incorporating projected allocation to each state, county and major city and the "salaries and expense" figures projected for the early years of implementation
   b) an articulation of the objectives proposed for the new or amended program
   c) a documented statement on the need to be met or problem to be solved
   d) b) and c) above
   e) a), b) and c) above

4. In presenting the case for a new (or amended) program through testimony before a Congressional committee, it is essential that the need or problem to be addressed by the new legislation be characterized by:

   a) relevant documentation from appropriate sources
   b) documentation which relates to the full scope of the problem or need
   c) demographic data on one or more communities
   d) a) and b) above
   e) all of the above

5. The policy rationale for a new public program is, in essence,

   a) a mandate to all of the states for direct action of some kind
   b) a justification stating why it is a legitimate concern of the nation (or other jurisdiction)
   c) an idea about how to achieve a key program objective
   d) a statement of broad policy goals, operationally defined
   e) none of the above

6. One term for describing a systematically organized way for achieving the stated goals and objectives of a publicly funded program under which monetary or other benefits are provided to eligible participants is:

   a) policy rationale
   b) evaluation design
   c) program design
   d) mission
   e) none of the above

7. In planning a cross-country series of "road shows" of key Federal officials with responsibility for implementing a new statute-based program, it is appropriate to include people who represent (or at least reflect) the range of diverse perspectives which need to be considered in mounting the new program. In planning these meetings for a new program of economic stablization and redevelopment it would be appropriate to include:

   a) national corporate executives
   b) community leaders
   c) regional manpower planners
   d) state and local union leaders
   e) all of the above

8. Ideas for the enactment or revision of Federal statutes to embody new public programs or significant amendments of existing programs are presented in a variety of settings by advocates speaking from different perspectives. These might well include:

   a) national meetings of civil rights leaders
   b) regional meetings of national associations, e.g., the American Medical Association, the American Society for Public Administration
   c) regular meetings of community organizations
   d) scheduled meetings of Congressional committees and/or subcommittees
   e) all of the above

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Student's Name (Last, First) Testing Instrument CBA 2-TPU (b)
Component 1 and 2

____Fall 19____ Pre-test____ Post-test____

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____Summer Term 19____

Instructions

For each question choose the best answer and fill in the appropriate choice on the the answer sheet.

9. Commissioner Francis Keppel performed a key role as ...., moving among various areas: the task force; HEW and USOE planning staffs; the White House; the Congress; the press; professional associations and interest groups.

   a) an intermediary broker of ideas
   b) a consultant
   c) a public relations man
   d) a committee chairman
   e) initiator of the ESEA concept

10. The purpose of the"conference committee" is

    a) to hear interested people and groups on pending Federal legislation
    b) to draw up amendments on existing Federal laws
    c) to accept the revised bill passed by one house of Congress.
    d) to adjust remaining differences between legislation of both houses of Congress
    e) to arrange conferences on issues which are pertinent to American legislators

11. Bills are discussed in committees in both the House and Senate. Amendments....

    a) can be offered by committees in the House only
    b) can be offered by committees on the Senate only
    c) can be offered by committees in both the House and Senate
    d) can only be offered by the entire legislature.
    e) can be offered by committees in the House only if the bill deals with urban affairs.

12. The Executive branch of government

    a) is associated with passage of a bill in its final stages when the president signs an enrolled bill.
    b) is associated with passage of a bill in the early stages of initiation of legislation.

c) is associated with passage of a bill through the executive's role as chairman of the conference committee.
d) a) and b)
e) a), b) and c)

Instructions

Answer the following questions by selecting the letter "a" if you believe the answer to be True, or choose "b" if you think it is False.

13. After the President's message on the state of the Union, many proposals on new programs and laws are forwarded from the White House to the Congress. These communications are then referred to the standing committee which has jurisdiction of the subject matter covered in the proposal, as bills may only be introduced by a Member of Congress.

14. Many laws and amendments to existing laws originated as proposals to members of Congress from their constituents--individuals, groups of citizens, or formal organizations, such as professional associations, trade unions, etc., If the Member likes such a proposal, he may introduce it as he received it or he may modify it along lines closer to his own view of what should be proposed. In either case, he may consult with the legislative counsel in order to frame the ideas in legislative language and format that is suitable for introduction.

15. Several of the Federal executive departments and independent agencies have staffs of trained legislative counsel whose functions include the drafting of bills to be forwarded to the Congress with a request for their enactment.

16. Congressional committees sometimes draft bills after studies and hearings covering periods of a year or more. On other occasions, a draft bill may be the result of a study over that period of time or even longer by a Task Force, committee or commission that is designated by the President of the United States or one of his cabinet members.

17. After a bill has been introduced in the House of Representatives, assigned its legislative number, and referred to the appropriate committee, pertinent details about the bill appear in the daily issue of the Congressional Record. It is then sent to the Government Printing Office where it is printed that same night in its introduced form, and printed copies are made available the next morning in the document rooms of both Houses of Congress.

18. One of the first action taken by a Congressional subcommittee to which a bill has been referred for consideration is the transmittal of copies of the bill to the federal department(s) or agency(s) concerned with its subject matter, with a request for an official report of views on the necessity or desirability of enacting the bill into law. These reports are submitted first to the Office of Management and Budget to determine whether they are consistent with the program of the President.

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Student's Name (Last, First)

Testing Instrument CBA 2 TPU (c)
Component 1

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____Spring 19____

____Summer 19____

INSTRUCTIONS

Careful analysis of public programs created by Federal statutes, such as those embodied in the Elementary and Secondary Education Act of 1965 (ESEA) or the Economic Opportunity Act of 1964 (EOA), reveals six distinct elements or characteristics common to all such programs. Please complete the six statements which follow; each describes one of the six common elements or characteristics. Select the correct answer among the five choices which follow each sentence. Identify the correct choice by filling in the appropriate letter on the answer sheet.

19. A specifically defined and documented....

a) survey of community need reflecting a problem of serious concern
b) public need to be met or problem to be solved
c) analysis of public opinion on an issue of legitimate interest to the nation as a whole
d) public debate on a historic issue
e) none of the above

20. A policy decision by government that....in the interest of the nation, state or locality.

a) persons below a certain income level should receive benefits
b) each state is responsible for appropriate and direct action
c) a particular problem or need should be met in a certain way
d) communities throughout the nation must now be mobilized for effective action
e) none of the above

21. Delineation of....

a) program objectives
b) procedures for processing of applications by local organizations applying for funds
c) program guidelines
d) the criteria for awarding payments or other benefits to participants
e) none of the above

22. Utilization of....

    a) community residents in program administration positions whenever possible
    b) the resources afforded by the states, to facilitate intergovernmental cooperation
    c) advisory committees and trained volunteers to achieve maximum participation of local residents and community leaders
    d) tax levy or other public funds
    e) none of the above

23. A systematically organized plan of activities for achieving the stated goals and objectives, known as....

    a) "the program"
    b) "the targets for success"
    c) "the milestone report"
    d) "the abstract"
    e) none of the above

24. Authorization of law for an executive agency to....in order to participate in initiating and/or administering the program.

    a) enter into contracts
    b) award grants
    c) pay stipends to beneficiaries and their dependents
    d) act in appropriate and necessary ways
    e) none of the above

Instructions

The paragraph below deals with funding in connection with the creation or amendment of public programs. Fill in each blank space with the letter that signifies the correct answer (which you selected from the list below).

Decision by (25) ______, in connection with passage of the law which creates or amends a public program, and incorporated within it, that the funds for a given program, during a stated fiscal (26) ______ shall be no greater than a particular (27) ______. This stage results in what is formally known as the (28) ____, which is also known as the ceiling.

a) "program" statute
b) amount
c) the legislature
d) year
e) authorization

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____
Student's Name (Last, First)

Testing Instrument CBA 2 TPU (c)
Component 1

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INSTRUCTIONS

Careful analysis of public programs created by Federal statutes, such as those embodied in the Elementary and Secondary Education Act of 1965 (ESEA) or the Economic Opportunity Act of 1964 (EOA), reveals six distinct elements or characteristics common to all such programs. Please complete the six statements which follow; each describes one of the six common elements or characteristics. Select the correct answer among the five choices which follow each sentence. Identify the correct choice by filling in the appropriate letter on the answer sheet.

19. A specifically defined and documented....

a) survey of community need reflecting a problem of serious concern
b) public need to be met or problem to be solved
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d) public debate on a historic issue
e) none of the above

20. A policy decision by government that....in the interest of the nation, state or locality.

a) persons below a certain income level should receive benefits
b) each state is responsible for appropriate and direct action
c) a particular problem or need should be met in a certain way
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a) program objectives
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    d) tax levy or other public funds
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23. A systematically organized plan of activities for achieving the stated goals and objectives, known as....

    a) "the program"
    b) "the targets for success"
    c) "the milestone report"
    d) "the abstract"
    e) none of the above

24. Authorization of law for an executive agency to....in order to participate in initiating and/or administering the program.

    a) enter into contracts
    b) award grants
    c) pay stipends to beneficiaries and their dependents
    d) act in appropriate and necessary ways
    e) none of the above

Instructions

The paragraph below deals with funding in connection with the creation or amendment of public programs. Fill in each blank space with the letter that signifies the correct answer (which you selected from the list below).

Decision by (25) ______, in connection with passage of the law which creates or amends a public program, and incorporated within it, that the funds for a given program, during a stated fiscal (26) ______ shall be no greater than a particular (27) ______. This stage results in what is formally known as the (28) ____, which is also known as the ceiling.

a) "program" statute
b) amount
c) the legislature
d) year
e) authorization

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Student's Name (Last, First)

Testing Instrument #CBA 2-TPM (d)
Component 1, 2, 3, and 4

Pre-test ____ Post-test ____

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INSTRUCTIONS

Identify the best choice by filling in the appropriate letter on the answer sheet.

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35. A number of goals that are sometimes articulated for Federal programs are listed below. Select the answer which best describes those (if any) which have been included over the years in discussion and debate on Federal income maintenance programs.

    a. Equity. Benefits should be fair and uniform, so that people in the same circumstances are treated in the same way.

    b. Least cost. Goals should be achieved while still spending the least amount on benefits.

    c. Efficiency. Programs should be administered at the least cost commensurate wit program integrity.

    d. All of the above

    e. None of the above

36. Aid for dependent children (AFDC), originally conceived as an attempt to administer welfare relief to mother-headed families only, is believed by many to be a failure. The reason(s) most often given to explain the failure of AFDC are as follows.

    a. It established incentives for families to split up.

    b. It established incentives for families never to form.

    c. It is inequitable to equally poor two-parent families.

    d. All of the above.

    e. None of the above.

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Components 1, 2, 3, and

____ Fall 19____ Pre-test Post-test

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INSTRUCTIONS

Select the correct answers to the questions given below. Fill in the letter (a) on the answer sheet if a statement below is true; fill in (b) if a statement is false.

Over the years, certain beliefs and assumptions have characterized the evaluation of the U.S. Social Welfare system. The following two statements deal with these beliefs and assumptions.

29. It has been widely assumed that general public education would prepare workers for jobs, for which adequate pay would be assured by the minimum wage, first enacted at the Federal level in 1938.

30. It has been believed that it is in the public interest for workers and their families to be insured against identifiable risks to the steady flow of earned income, such as involuntary unemployment, old age, death, and disability of the breadwinner.

31. By and large, our social welfare system has not done badly by low and modest income workers. In 1973, out of 18 million American families with cash incomes below the poverty level, only 6.5% were poor despite year-round, full-time work by the family wage earner.

32. The food stamp program is one of several forms of Federal income security assistance available to a poor man of 59 who wants to work and whose vision and hearing is still excellent, but whose health is breaking down. (He would not be termed "disabled" under the law.)

33. The last effective revision of an overall U.S. national strategy for income maintenance was in the decade of the 1930's .

34. The evaluation of most of our major income maintenance programs shows a continuing struggle among competing values and goals. However, reconciliation has generally been achieved on the tension between

    i. the goal of providing adequate benefits to sustain life and provide basic amenities, and

    ii. the importance of ensuring that the incentive to work is not reduced by providing public benefits to those in need.

37. One approach to welfare reform proposed in recent years is that "The best judge of each family's priorities is that family itself, and the best way to relieve the hardships of poverty is to provide the family with additional income--to be spent as that family sees fit." A well-known proponent of this approach is...

a. John F. Kennedy

b. Oveta Culp Hobby

c. Richard Nixon

d. All of the above

e. None of the above

38. The question of support for religiously affiliated elementary and secondary education was a major issue in the creation and passage of the Elementary and Secondary Education Act of 1965 (ESEA). This conflict was largely resolved by

a. providing funds for the establishment of "educational resource centers" through which educational benefits were provided to parochial school children, equivalent to those afforded students in public schools.

b. cash payment provision for parents of parochial school children, equal to benefits provided to public school children through the public schools.

c. provision for parochial school students to benefit from ESEA programs, with a restriction on ownership and control of instructional materials to public agencies and a general prohibition against payments for religious instruction

d. All of the above

e. none of the above

39. One of the complex issues in the design and passage of ESEA was the designation of the levels of government at which control over educational programs, centers, and other activities under ESEA would be placed. This issue was resolved by providing __________________________________.

a. A general limitation on the supervisory role of state educational agencies

b. Exclusive program direction by the U.S. Office of Education in the administration of several titles of the Act.

c. A "layer cake" of federalism in which authority and responsibilities were shared among all levels of government, and new initiatives were afforded to educators and administrators at every level.

d. All of the above

e. None of the above.

40. Many interest groups were involved in the evolution and resolution of issues in the ESEA. On the whole, the major interest groups

    a) took firmer and more rigid positions than they had in 1961 and 1963
    b) took rigid positions on substantive matters but were more flexible on authorizations and appropriations.
    c) took firm and rigid positions on fiscal provisions but were willing to negotiate and modify their positions on substantive matters.
    d) were involved in considerable negotiation and modification of earlier positions, in an atmosphere which provided elbow room and support for those seeking compromise solutions.
    e) were only willing to discuss issues and negotiate after the bill had already been introduced and reported out of committee.

41. In his welfare reform package, Pres. Carter has proposed that we provide cash supplements to the working poor. Generally, we seek a number of goals in income maintenance programs, which results in considerable discussion of the issues related to these goals. This proposal by President Carter particularly fosters the goal of:

    a) adequacy
    b) incentives
    c) equity
    d) efficiency
    e) least cost

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Testing Instrument CBA 2-TPU (e)
Component 1, 2, 3, 4

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Pre-test

Post-test

INSTRUCTIONS

In the implementation of new Federal program, such as those created by the Elementary and Secondary Education Act of 1965 (ESEA), there are many steps which may need to be taken and many tasks which must be performed. Below is a list of 10 tasks. Tasks may be:

a) Necessary
b) Quite Possible
c) Unlikely
d) Unnecessary

For each item, identify the correct choice by filling in the appropriate letter on the answer sheet.

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42. Recommend changes in organizational structure to meet new program needs. a b c d

43. Identify language in the statute which is ambiguous or requires clarification or amplification. a b c d

44. Create advisory committee(s) a b c d

45. Appraise existing organizational structure in light of new program needs. a b c d

46. Define and resolve remaining policy issues. a b c d

47. Develop and promulgate regulations. a b c d

48. Develop standards, criteria, processes and procedures. a b c d

49. Reassign personnel. a b c d

50. Develop arrangements for distributing and monitoring funds. a b c d

51. Answer questions from members of the general public or interested constituencies. a b c d

INSTRUCTIONS: Select the most correct answer from those listed below as a) - e).

52. In implementing a new federal program or amendment one of the important first steps it is always important to take is:

a) to develop new organizational units to handle the new responsibilities
b) to initiate special recruitment efforts to bring in new personnel into the agency to handle the new responsibilities
c) to review existing agency structure and resources in relation to the needs of the new program or amendment
d) to revise existing statutes
e) none of the above

53. In implementing new Federal programs, certain fundamental principles are regarded as highly important throughout the formulation of program policies, guidelines and procedures. These principles include:

a) due process
b) predictability
c) maximum feasible participation of the population(s) to be served
d) b) and c) above
e) all of the above

54. The challenges which face top administrators and other staff responsible for implementing complex new federal programs may be very great, calling for a wide range of abilities and personal/professional resources, if high-level, effective performance is to be achieved in program planning, development, and administration. These abilities and resources may well include:

a) the capacity to work with diligence while adjusting to new assignments, policy modifications and political necessities
b) sensitivity to a wide range of perspectives on a given issue or problem, while contributing to the development/maintenance of consistency and predictability
c) perserverance in carrying out one's own responsibilities in an often ambiguous and pressured climate, without regard to the changes evolving in the structure, staffing and procedures for your unit and the larger division of the agency in which it is located
d) a) and b) above
e) all of the above

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Student's Name (Last, First)

Testing Instrument CBA 2-TPU (e)
Component 5

____Fall 19____

Pre-test____ Post-test____

____Spring 19____

____Summer Term 19____

INSTRUCTIONS

Regulations and guidelines are both essential to the implementation of new Federal programs. Below is a list of fifteen statements. For each, indicate whether it is applicable to :

a) Regulations
b) Guidelines
c) Both
d) Neither

For each item, identify the correct choice by filling in the appropriate letter on the answer sheet.

55. President promulgates them. a b c d

56. They have the status of Federal law. a b c d

57. They are the proper vehicle for rules required by statute. a b c d

58. They closely follow statutory language. a b c d

59. They're promulgated in the Federal register, using its format and organization. a b c d

60. Lawyers draft them with the assistance of program specialists. a b c d

61. Tone and language are legalistic. a b c d

62. A long period of official clearance is needed to amend them. a b c d

63. Brevity is valued; they are typically kept to a minimum. a b c d

64. They are issued by authority of the agency head. a b c d

65. They are amended at discretion of the agency head. a b c d

66. They are prepared by program officials who have responsibility for program administration. a b c d

67. They typically include criteria and procedures developed for programs, e.g., for submission and review of applications and criteria for approval of requests. a b c d

68. Officials have considerable latitude in the kinds of content that will be included, e.g., operating standards and hortatory and precautionary statements. a b c d

69. They include ad hoc items, such as memos concerned with a particular topic or item geared to a particular time. a b c d

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Pre/Post
CBA 2, TPU (c) component 1, 3, 4 and 5 cont'd.

______ a) "Within Job Corps. centers, standards of conduct and deportment shall be provided and stringently enforced."

______ b) "....may provide enrollees with such personal, travel and leave allowances, and such....other expenses as he may deem necessary and appropriate to their needs. Personal allowances shall be established....

______ c) "The Director shall make no payments to any individual or organization solely as compensation for the service of referring the names of candidates for enrollment in the Job Corps."

______ d) "The Director may make agreements with Federal, State or local agencies, or private organizations for the establishment and operation of Job Corps. Centers."

______ e) "For the purpose of carrying out the....Act...., there are hereby authorized to be appropriated $2,195,500,000 for the fiscal year ending June 30, 1970, and $2,295,500,000 for the fiscal year ending June 30, 1971."

______ f) "As used in this section, the term 'research and related purposes' means research, research training, surveys, or demonstrations, in the field of education, or the dissemination of information derived therefrom, or all of such activities, including (but without limitation) experimental schools, except that such term does not include research, research training, surveys, or demonstrations in the field of sectarian instruction or the dissemination of information derived therefrom."

______ g) "To assist them in providing training in research in the field of education.... including the development and strengthening of training staff and curricular capability...."

Handscore

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Theory/Practice Curriculum in Public Administration

Student's Name (Last, First) ______________________

Testing Instrument CBA 2-TPU (c)
Component 1, 3, 4, and 5

____Fall 19____

____Spring 19____

____Summer Term 19____

Pre-test____ Post-test____

Instructions

A number of terms are utilized in the course of analyzing statutes which create new public programs. Sixteen of these terms are listed below. A number of phrases from the Economic Opportunity Act (EOA) and the Elementary and Secondary Education ACT (ESEA) are given on the following page. Next to each, write the number assigned to the term which best describes each phrase.

1. program strategy
2. mission
3. public agency
4. eligibility criteria for benefits
5. executive branch
6. goal(s)
7. mandate
8. ambiguous word(s) or phrase(s)
9. (delegation of) authority to act
10. benefits to participants
11. authorization of funds
12. evaluation provision(s)
13. appropriation of funds
14. constituency
15. definition(s)
16. limitation on authority

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__________ __________________
Student's Name (Last, First)

Testing Instrument CBA 2-TPU (c)
Component 2

____Fall 19____

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____Summer 19____

Pre-test____ Post-test____

Instructions

Four main elements can be identified in a typical statement of policy or declaration of purpose at the beginning of a statute which creates (or amends) new programs. a) Identify three of these elements, from the list of six elements given below by circling the number next to the elements which are correct.

Elements

a)

1. a historical issue of long-standing to be resolved....
2. a specific need to be met (or problem to be solved)
3. a mandate to all of the states to act
4. a public or social objective (or objectives) of major importance
5. a series of priorities to be undertaken in pursuit of a major new national goal
6. an approach deemed best for achieving an important public or social objective.

b) Identify each of the three correct elements (on the next page of this exam) as they appear in section 2 of the Economic Opportunity Act of 1964, by underlining and bracketing each, and putting the correct number for each (from part a, above) in the margin.

Economic Opportunity Act of 1964, As Amended

An Act

Findings and Declaration of Purpose

SEC. 2. Although the economic well-being and prosperity of the United States have progressed to a level surpassing any achieved in world history, and although these benefits are widely shared throughout the Nation, poverty continues to be the lot of a substantial number of our people. The United States can achieve its full economic and social potential as a nation only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the workings of our society. It is therefore, the policy of the United States to eliminate the paradox of poverty in the midst of plenty in this Nation by opening to everyone the opportunity for education and training, the opportunity to work, and the opportunity to live in decency and dignity.

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CBA 2-TPU (a) component 1
Pre/Posttest

Answer Key	Source
1. e	
2. e	
3. d	
4. d	
5. b	Glossary, item #24
6. c	Glossary, item #25
7. e	
8. e	

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CBA 2-TPU (b), component 1 and 2 Pre/Posttest

Answer Key	Source
9. a	
10. d	
11. c	
12. d	
13. a	"How Our Laws are Made, p. 5
14. a	" " " " " p. 5
15. a	" " " " " p. 6
16. a	" " " " " p. 6 and Bailey & Mosher pp. 39-40
17. a	" " " " " p. 10
18. a	" " " " " p. 14

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Answer Key CBA 2, TPU (c), component 1
Pre/Posttest

19. b

20. c

21. a

22. d

23. a

24. d

25. c

26. d

27. b.

28. e

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CBA 2-TPU (d), component 1, 2, 3 and 4 Pre/Posttest

Answer Key

29. a

30. a

31. b

32. b

33. a

34. b

35. d

36. d

37. c

38. c

39. c

40. d - Bailey & Mosher, p. 46

41. b - Issues In Welfare Reform, p. 4

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CBA 2-TPU (e), Component 1, 2, 3, 4 - Pre/Posttest

Answer Key

42. b

43. a

44. b

45. a

46. a

47. a

48. a

49. b

50. a

51. a

52. c - Bailey & Mosher, pp. 73-111 & Babbidge Report

53. b - " " p. 98

54. a " " pp. 98-100

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CBA 2-TPU (e), Component 5 - Pre/Posttest

Answer Key

55. a
56. c
57. a
58. a
59. a
60. a
61. a
62. a
63. a
64. b
65. b
66. b
67. b
68. b
69. d

Handscore

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CBA 2-TPU (c), component 1, 3, 4 & 5 Pre/Post test

Answer Key

a) 7

b) 10

c) 16

d) 9

e) 11

f) 15

g) 6

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Handscore

CBA 2-TPU (c), component 2 - Pre/Posttest

Answer Key

Part (a)
The correct answers to Part "a" are 2, 4, and 6.

Part (b)

Economic Opportunity Act of 1964, As Amended

An Act

Findings and Declaration of Purpose

SEC. 2. Although the economic well-being and prosperity of the United States have progressed to a lever surpassing any achieved in world history, and although these benefits are widely shared throughtout the Nation, [poverty continues to be the lot of a substantial number of our people.] [The United States can achieve it full economic and social potential as a nation only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the workings of our society.] It is therefore, the policy of the United States [to eliminate the paradox of poverty in the midst of plenty in this Nation] [by opening to everyone the opportunity for education and training, the opportunity to work, and the opportunity to live in decency and dignity...."]

This is policy rationale; NOT included in items which comprise part "a".

(2) (problem or need)

(4) (objective)

(6) (approach)

Note: Other interpretations may also be deemed correct in the discretion of the instructor. For example, an alternate correct answer to #2 is the sentence that begins "Although the economic well-being and prosperity...."

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CBA 2, unit (a) - In-Semester Examination
Component 2

FORMAT FOR ADVOCACY PAPER (three to four double spaced pages)

Title (10 - 15 words)

Brief description of program design (who gets what, when, how, etc., etc.)

Role

Problem to be solved
(or: need to be met)

Objectives

Student's Name-Last, First

CBA 2-TPU (a), component 2, cont'd.

Program design and benefits

Policy rationale

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CBA 2, unit (a)
Component 2

Student's Name-Last, First

Rating Scale for Advocacy Paper - P.A. 120, Unit (a)

1 = poor

2 = inadequate

3 = adequate

4 = good

5 = excellent

1.	Does the title and description state who gets what, when and/or how, briefly but clearly?	1	2	3	4	5
2.	Is the role important and realistic in relation to the program?	1	2	3	4	5
3.	Is the problem or need described in convincing verbal terms?	1	2	3	4	5
4.	Is the documentation relevant to the scope?	1	2	3	4	5
5.	Is the documentation adequate?	1	2	3	4	5
6.	Is it realistic?	1	2	3	4	5
7.	Are the program goals, design, and benefits specific and well-defined?	1	2	3	4	5
8.	Is policy rationale plausible?	1	2	3	4	5
9.	Is the paper clear and concise?	1	2	3	4	5
10.	Is the over-all organization, presentation, and use of language mature and professional in tone?	1	2	3	4	5

Rev. 6/73
CBA 2

Semester__________

Unit (b) - In-Semester Quiz*

INSTRUCTIONS: Select the most correct answer from those listed below the following questions.

1. One prolific source of legislative proposals is the "executive communication," which is usually sent in the form of a letter transmitting the draft of a proposed bill, to the Speaker of the House of Representatives and the President of the Senate from:

   a) the head of an independent agency
   b) a member of the cabinet of the President of the United States
   c) the President of the United States
   d) all of the above
   e) none of the above

2. Bills proposing the initiation of new public programs or the amendment of existing programs are the form in which most legislation is introduced. In a typical recent session of Congress (1971-72) the number of bills introduced for these and other purposes in the House of Representatives and the Senate totaled

   a) about 1,700
   b) more than 21, 000
   c) almost 4,000
   d) about 6,500
   e) almost 9,000

INSTRUCTIONS: Read the following statements. Select the letter "a' if you believe it to be True, or "b" if you think it is False.

3. If a House of Representative committee votes to report a bill favorably, it will designate one of its Members to write a report on the bill. The report usually describes the purpose and scope of the bill and the reasons for its recommended approval. Frequently, a section-by-section analysis is set forth in detail explaining what each section is intended to accomplish. Executive communications requesting the introduction and consideration of the bill are usually quoted in full.

*In process of revision

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Unit (b) In-Semester quiz

Answer Key	Source	
1. d	"How Our Laws Are Made,	p. 5
2. b	"	p. 7
3. a	"	p. 18

Rev. 2/78

CBA 2

In-Semester Unit (c) quiz

INSTRUCTIONS: Careful analysis of public programs and the statutes which create them rests, in part, on the understanding of key terms and concepts. Please complete the statements which follow by selecting the most correct of the five choices which follows each.

1. An appropriation of funds is the:

   a) amount of money referred to as a guide to legislative (e.g., Congressional) action in the statute which creates or amends a program.

   b) amount set aside as each state's portion of funds which can be spent for a particular program in a given fiscal year(s)
   c) amount of money committed by a legislative body for a particular purpose during a given period
   d) The funds projected by the OMB to cover a given agency's expenses during a stated fiscal year(s).
   e) none of the above

2. The term below which best describes all of the following in relation to the National Defense Student Loan Program

   - State University presidents
   - Savings and loan officials of banks
   - Parents of college students
   - financial aid officers
   - College students
   - Official of profit-making proprietary colleges

   is:

   a) pressure groups
   b) constituencies
   c) clients
   d) participants
   e) none of the above

3. Program goals are:

   a) The detailed objectives for which a program is designed
   b) The basic ideas about how to achieve program purposes
   c) The broad purposes a program is designed to accomplish
   d) all of the above
   e) none of the above

   Policy decisions are the most important choices made in public and private life. The public policies on which new (or amended) public programs rest may be viewed as having four major components. Identify the item below which would not customarily be viewed as one of these components.

   a) a defined problem or need to be met
   b) a designated public agency with an appropriate mission within the executiv branch
   c) a particular approach deemed best for achieving the stated purpose(s)
   d) a justification or rationale for why the proposed action is in the public interest
   e) stated goal(s) deemed appropriate to solving the problem or meeting the need

CBA 2
In-Semester Unit (c) quiz cont'd.

5. Statutes which create or amend public programs frequently include words or phrases which are unambiguous but require clarification or amplification as a guide to administrative action. Select the item or items below which are examples of this

   a) dependent
   b) emergency
   c) extraordinary financial obligations
   d) unusual circumstances
   e) all of the above

INSTRUCTIONS: Read each of the following excerpts from a federal statute and identify the word or phrase which follows it that most correctly describes one of its key words or phrases.

6. "The Director shall prescribe specific rules governing the accrual of leave by enrollings."

   a) benefit
   b) mandate
   c) goal
   d) limitation of authority
   e) none of the above

7. "In order to determine whether upgraded vocational schools could ... reduce the school dropout problem ... (there shall be established) model community vocational education schools and skill centers."

   a) criteria
   b) objective(s)
   c) delegation of authority
   d) program strategy
   e) none of the above

8. "Participants in programs under this part must be unemployed or low-income persons .... taking into consideration family size, urban-rural and form-non-form differences, and other relevant factors".

   a) client(s)
   b) eligibility for participation
   c) limitation on authority
   d) program strategy
   e) none of the above

9. "In addition to the amounts authorized to be appropriated pursuant to subsection (a) of this section, there are further authorized to be appropriated the following:

   (1) $14, 000,000 for the fiscal year ending June 30, 1974, to be used for the Special Impact programs described in part D of title I."

(cont'd.)

- a) appropriation
- b) allocation
- c) authorization
- d) delegation of authority
- e) limitation on authority

10. "As used in this part, 'programs related to this Act' and 'coordination' shall include the programs and actions described in this section:

    (1) "Programs related to this Act" include programs ... which have objectives which are, in whole or substantial part, complementary to the purposes of this Act, or which provide resources which may be used in combination with resources under this Act ..."

- a) benefit(s)
- b) mandate
- c) limitation on authority
- d) legislative definition(s)
- e) none of the above

11. "The Director is authorized to make loans to local cooperative associations furnishing essential processing, purchasing or marketing services, supplies, or facilities predominantly to low-income rural families."

- a) clients
- b) limitation on authority
- c) mandate
- d) delegation of authority
- e) goals

12. "No financial or other assistance shall be provided under this part unless the Director determines that...

    (1) ... (it) will materially further the purposes of this part, and

    (2) ... the applicant is fulfilling or will fulfill a need for services, facilities, or activities which is not otherwise being met.

- a) Mandate
- b) Limitation on authority
- c) Benefit
- d) Delegation of authority
- e) none of the above

13. "To stimulate a better focusing of all available local, state, private and Federal resources ... (towards) enabling low-income families and ... individuals to attain the skills, knowledge and motivation and secure the opportunities needed for them to become fully self-sufficient."

- (a) delegation of authority
- (b) criteria
- (c) goal(s)
- (d) clients
- (e) all of the above

14. "Loans having a maximum maturity of 15 years ... in amounts resulting in... indebtedness of (not) more than $3,500 at any one time to any low-income rural family ... (if) such loans have a reasonable possibility of effecting a permanent increase in the income of such families ..."

   a) benefits(s)
   b) mandate
   c) delegation of authority
   d) ambiguous word or phrase
   e) evaluation provision(s)

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CBA 2 Unit (c) In-Semester Quiz

Answer Key	Source
1. c	Glossary
2. b	"
3. c	"
4. b	"
5. e	" and annotated work sheet, Economic Opportunity Act
6. b	" and Economic Opportunity Act, sec. 109, (b)
7. d	" and " sec. 113, (c)
8. b	" " sec. 165
9. c	" and Economic Opportunity Act, Amendments, Sec. 102 (c)-(1), p. 83
10. d	" " sec. 638
11. d	" " sec. 303
12. b	" sec. 304
13. c	" " sec. 201 (a)
14. a	" " sec. 301 (a)

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CBA 2

Semester________ Year__________

In-Semester Quiz - Unit (d)

INSTRUCTIONS: Choose the best answer for each question below. Mark the appropriate letter on the answer sheet.

1. Aid to parochial schools and/or their students was one issue that arose during evolution of the Elementary and Secondary Education Act. The intent of Title II, as passed, was that:

   a) church-related schools were to receive federal money
   b) children attending church-related schools were to benefit from the use of federal funds
   c) money was to aid parochial schoolchildren only in those states where the state constitution allows public monies to be spent in this way.
   d) no federal funds were to be spent to benefit any church-related schools or their pupils
   e) federal funds could benefit church-related schools only if the voters approved this policy in a referendum.

2. Federal control was another issue that loomed large in the evaluation of ESEA. When the bill was finally enacted, how many titles granted exclusive program direction to USOE?

   a) one
   b) two
   c) three
   d) four
   e) five

3. ESEA's resolution of issues involved in intergovernmental responsibilities included assignment of various responsibilities to:

   a) USOE, the Congress and the federal judiciary
   b) USOE and the state education agencies
   c) USOE, the state education agencies and the local education agencies
   d) USOE, the state education agencies, the local education agencies and the individual schoolteachers
   e) state education agencies and local education agencies

4. The ESEA contains provisions to conciliate the proponents of Federal-aid for religious-connected education. The Congress' intentions concerning students attending religion-connected schools are:

   a) expressed deliberately and explicitly in the statement of policy at the beginning of the Act.
   b) included in only one Title of the Act, but the benefits are extensive because of the programs and funding provided in that Title.
   c) expressed primarily in legislative history, especially committee reports and floor debates ✓
   d) incorporated in several titles of the Act
   e) none of the above

5. The Family Assistance Plan can be described as a

   a) federally-controlled, high-benefit level, guaranteed income for families with children
   b) state-controlled, high-benefit level, guaranteed income for families with children.
   c) federally-controlled, low-benefit level guaranteed income for families with children
   d) state-controlled, low-benefit level guaranteed income for families with children
   e) joint state-federally controlled, high-benefit level, guaranteed income for families with children.

6. Two very different approaches for achieving welfare reform have been suggested: comprehensive reform and the incremental approach. Choose the item below which best illustrates an example of comprehensive reform.

   a) Streamlining the Food Stamp Program.
   b) Adding a cost-of-living adjustment to AFDC.
   c) Changing the payment scales for both Medicaid and Medicare.
   d) Establishing a negative income tax to replace current welfare programs.
   e) Adding a major-medical insurance premium to SSI benefits.

7. Pres. Nixon's Family Assistance Plan

   a) would have given benefits to the same population affected by already existing income maintenance programs
   b) would have given benefits to a slightly enlarged population of beneficiaries.
   c) created the impression that the population of those eligible for welfare benefits would greatly increase, without proposing the necessary changes in policy and procedure to make that a reality.
   d) would have enlarged the population of thos eligible for welfare benefits but the number of beneficiaries added to the welfare rools would not have been as great as the number added by new legislation during the Johnson era.
   e) would have produced the largest single expansion of beneficiaries associated with federal cash assistance programs since the 1930's.

Questions 8, 9, 10, 11 and 12

The choices facing government policy makers in the field of welfare reform involve analysis and evaluation of the basic ideas associated with a number of goals, some of which overlap and/or conflict.

The basic ideas associated with five such major goals are listed below, as a) through e). In answering questions 10 through 14; select the idea mostly closely associated with the goal described.

(Cont'd on page 3)

a) Benefits should be fair and uniform, so that people in the same circumstances are treated the same way.
b) Programs should be administered at the least cost commensurate with program integrity.
c) Benefits plus private income sources should be sufficient to sustain life and provide basic amenities.
d) Public benefits should not substitute for savings, private income, and family support obligations. Programs should maintain incentives for work, thrift, and family stability.
e) We want to spend the least amount on benefits while still achieving our goals.

8. Identify the idea above for adequacy.

9. Identify the idea above for incentive.

10. Identify the idea above for equity.

11. Identify the idea above for efficiency.

12. Identify the idea above for least cost.

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CBA 2

In-Semester, Unit (d)

Answer Key	Source	
1. b	Bailey & Mosher,	p. 52 or 59
2. a	"	p. 59
3. c	"	p. 59
4. d	"	p. 59
5. c	Issues in Welfare Reform,	p. 11
6. d	"	p. 14
7. e	"	p. 11
8. c	"	p. 4
9. d	"	p. 4
10. a	"	p. 4
11. b	"	p. 4
12. e	"	p. 4

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G&A 2

Instructor_______________
Semester__________Year__________

In-Semester Quiz - Unit (e)

INSTRUCTIONS: In the process of agency implementation of a new program at the Federal level, certain stages precede others, in logical sequence. Place items a)-e) which follow in the most logical order, and indicate which is the most appropriate for each of the stages which constitute the answers to questions 1-4.

a) the allocation of funds and/or awards of grants/contracts
b) the identification and resolution of policy questions (if any) and clarification of language in the statute which is ambiguous or in need of clarification and/or amplification
c) conduct congressional hearings at which public and community representatives testify on how the new program should be implemented
d) review applications to participate in the new program, in relation to guidelines, criteria, priorities, etc.
e) promulgate regulations and issue guidelines pertaining to program policies, requirements, procedures, etc., etc.

1. First Stage

a)
b)
c)
d)
e)

2. Second Stage

a)
b)
c)
d)
e)

3. Third Stage

a)
b)
c)
d)
e)

4. Fourth Stage

a)
b)
c)
d)
e)

INSTRUCTIONS: Questions 5 through 12 deal with the characteristics of Federal regulations and guidelines for new (or amended) programs, and the differences between them. Answer the questions two at a time. For each cluster of items identified as a) - e), select the one that is now appropriate in relation to regulations and the one that is most appropriate in relation to guidelines.

These are the items for questions 5 and 6

a) they tend to be brief and no longer than necessary
b) the length varies from program to program because every question which has been raised by legitimate program constituencies is covered
c) the length is variable and may range from quite long on some occasions to very brief on others
d) the statute sets explicit limits on the number of pages to be included
e) none of the above

5. Regulations

a)
b)
c)
d)
e)

6. Guidelines

a)
b)
c)
d)
e)

These are the items for questions 7 and 8

a) They are written by the administrators responsible for developing and directing the program.
b) They are prepared by Congressional Committee staff with the assistance of executive agency program personnel.
c) They are drafted by attorneys who work for the federal department or agency administering the programs with the assistance of administrators who are responsible for its implementation.
d) They are drafted by members of the ad hoc committees established to help resolve issues and questions which arise in implementation of the new program or amendment.
e) none of the above

7. Regulations

a)
b)
c)
d)
e)

8. Guidelines

a)
b)
c)
d)
e)

These are the items for questions 9 and 10

a) They are promulgated by the President of the United States.
b) They are issued by the head of the agency which has responsibility for administering the new program or amendment.
c) They are issued by the various Regional Directors of the Federal agency which has responsibility for administering the new program or amendment, to ensure that appropriate modifications are made to meet regional or local needs, e.g., in relation to income or unemployment rates which are not uniform throughout the nation.
d) They are promulgated by the Office of the General Counsel of the Federal Agency with responsibility for the program or amendment.
e) none of the above

9. Regulation

a)
b)
c)
d)
e)

10. Guidelines

a)
b)
c)
d)
e)

These are the items for questions 11 and 12

a) It is difficult to generalize about their scope and content
b) They are the proper place for rules required by the statute, and tend to be legalistic in tone.
c) The scope is variable, but typically includes criteria and procedures developed for program submissions, review and approval. Ad hoc items, such as memos to cover an unusual and exceptional situation may also be included.
d) They are comprehensive in nature and up-dated monthly to ensure that the resolution or response to all questions raised by program constituencies are widely circulated.
e) They deal exclusively with the guidelines and procedures developed for application procedures, program review and approval.

11. Regulations

    a)
    b)
    c)
    d)
    e)

12. Guidelines

    a)
    b)
    c)
    d)
    e)

Instructions

The paragraph below deals with funding in connection with the creation or amendment of public programs. Fill in each blank with the letter that signifies the correct answer (which you selected from the list below).

An amount is awarded, within the total budget of an agency, to provide the funds to be disbursed through grants, contracts, etc., in connection with a designated programs(s) during each fiscal year. The request for these funds is initiated by the Executive Branch but the amount may be decreased or increased, within the limit of the ______ (13), by the ______ (14). The funds made available are referred to as an ______ (15), which may be augmented by a ______ (16) during the course of the fiscal year.

a) legislature
b) advisory committee
c) supplemental
d) authorization
e) appropriation

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CBA 2

In-Semester Quiz - Unit (e)

Answer Key	Source
1. b	Bailey & Mosher, pp. 98-111
2. e	" pp. 98-111
3. d	" pp. 98-111
4. a	" pp. 98-111
5. a	" pp. 109-111 & Appendix B
6. c	" pp. 109-111 & Appendix B
7. c	" pp. 109-111
8. a	" pp. 109-111
9. a	" pp. 109-111
10. b	" pp. 109-111
11. b	" pp. 109-111 & Appendix B
12. c	" pp. 109-111 & Appendix B
13. d	
14. a	
15. e	
16. c	

Glossary

Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977

Glossary of Terms Relating to Statutory Analysis and Program Implementation I

Ambiguous Word(s) or Phrase(s) - Where two or more conflicting ideas are presented in a word or phrase without a basis for resolution.

2. Appropriation of Funds - This is an actual commitment of funds by a legislative body for a particular purpose; federal funds are provided for in "appropriation bills" for each agency, and include items "earmarked" for programs, e.g., "$55 million for Title I, Elementary and Secondary Education Act for FY 1967" or for Salaries and Expenses, (i.e. "S and E") of the Federal agencies which administer the programs e.g., the U.S. Office of Education. S and E funds are subdivided further into agency units and then organized by personnel and other needs, usually presented on an item by item, or "line item" basis.

3. Authorization of Funds - This means the maximum amount of money (or "ceiling") that can be made available for a specific program as defined in the law, if and when it is later appropriated by Congress. (Appropriations are often less than the authorization and some authorizations are never utilized at all.)

4. Benefits to Participants - That which someone in the program receives; e.g., money, training, services. The benefits are usually specific and concrete for the purposes of the law, rather than something intangible; e.g., "The Director may provide enrollees with such personal, travel and leave allowances, and such ... other expenses as he may deem necessary and appropriate to their needs ... Personal allowances shall be established at a rate not to exceed $35. per month ..."

   Note: "Better self image" would not usually be something listed as a benefit in the law. It might, however, be a goal of a program in which one of the stated purposes is to develop the potential for more personal growth and employability in youths between the ages of fifteen to eighteen

5. Client - A particular individual who receives services or benefits through a program, agency or project.

6. Constituency - Any group with a legitimate interest in a public agency, its programs and activities. This includes the group(s) served by the program but also includes others to whom it is important; e.g., ESEA is of interest to parents, teachers educational unions, school administrators, text book manufacturers, school principals, school board members, etc. etc. The National Defense Student Loan Program's, constituencies include: college presidents, savings and loan association officials, parents of college students, the students themselves, college financial aid officers, etc., etc.

   Note: The "community" which has a stake in a public program invariably includes various constituencies .

7. Criteria - standards utilized in making a decision.

8. Delegation of Authority to Act - This occurs in two major ways. One unit of government may assign to a lower one the right to do certain things on its behalf; e.g., the New York State Department of Social Services (DOSS) delegates authority to make decisions on eligibility to the local DOSS. The legislative body also empowers executive agencies to act. In either general or specific terms the limits and rules under which the authority is delegated are described. This also occurs within an agency, as power to act is delegated through the formal structure from its head.

9. Eligibility Criteria for Participation - Those characteristics that determine whether someone can be included in a program, Depending on the program the criteria covered include standards involving income, age, family status, area of residence, or other characteristics of an applicant or his/her situation.

10. Evaluation Provision(s) - Many statutes include a provision requiring that the effectiveness of a public program be reviewed periodically. The requirement may be fairly general or very specific as to how this should be done. It is sometimes linked with the requirement that annual reports be made.

11. Executive Branch - That portion of the federal government under control of the President. This includes all departments (e.g., HEW and HUD) and many other agencies. (The Legislative Branch (lawmaking) and the Judicial Branch (law interpretation and related tasks) are not part of the Executive Branch: altogether , the three branches comprise our "tripartite system" of government.)

12. Goal(s) - The broad purpose(s) which a program is designed to accomplish, e.g., to upgrade the quality of service available to the elderly.

13. Legislative Definition(s) - Definitions state exactly what a word or phrase means for a particular law. It is usually more precise than the normal dictionary definition; e.g., "dependent" is defined differently in different laws for different purposes.

Note: program policy statements and guidelines also may include definitions.

14. Limitation on Authority - The constraints imposed on implementing agencies by the law; e.g., "the local agency may certify grants up to $10,000 per year".

Note: "Mandates" may sometimes be followed by "limitations on authority".

15, Mandate(s) - Directive(s) with which an agency must comply; e.g., reports must be made each month. (No discretion is allowed an administrator to modify these.)

16. Mission - The overall goal of an agency; e.g. "to minimize the impact on human services of budget cuts necessitated by the fiscal crisis," is the mission of the Office of Human Services Planning (OHSP) in the Office of the Mayor. (These generally are very broad and show overall intent but say nothing about how this is to be accomplished. Such items are found in program strategies and goals.)

17. Organization - An orderly structure of people and resources with interdependent parts and a common purpose.

18. Policy - The most important choices made either in organized (private or public) or private (i.e., personal) life. e.g., "We speak of 'government policy' or 'business policy' or 'my own policy' regarding investments and other matters".

19. Population - The total potential group of people that a particular piece of legislation is designed to serve; e.g., those unemployed more than sixty days. (In fact, the actual number of participants is usually --but not always-- limited to just some of them).

20. Power - The capacity to influence people, decisions, or events.

[illegible]. Priority - In a line of things to be accomplished, the place of importance assigned to any one.

22. Program Strategy - An idea about how a goal or objective of a program will be realized; e.g., "... to upgrade the quality of service by making more home care available to the elderly..." "... to meet some...needs of low-income families by establishing a program of loans to assist in raising and maintaining their income living standards". (Customarily the objective, commencing with "to" is included, as well as the strategy, which often is preceeded by the word "by".)

23. Public Agency - An organization within the Executive Branch of government concerned with the implementation of public policies and programs. It carries out a formal mission, acts on the basis of legal authority, and utilizes tax levy or other public funds (cf. Regulatory Agencies).

24. Public Policy - (Note: This definition is especially relevant in connection with understanding the relations between high level government decisions and public programs.) A major decision on government action to be taken, upon which a public program is based; it embodies the following four elements: a) a defined problem to be solved or need to be met; b) which is to be met through action resulting in a desirable goal(s) (or objective(s); c) which is (are) the legitimate concern of the nation (or state or city); and, d) the particular approach deemed best for achieving the goal(s) or objective(s

Note: Typically objectives here are broadly defined, although "objective" means a narrower statement of purpose than "goal" does.

25. Public Program - A unified series of decisions, plans and operations grounded in public policy. Typically six elements can be identified: 1) a specifically defined and documented public need to be met; 2) a policy decision by government that the particular need shall be met in a certain way, in the interest of the nation, state or locality; 3) defined goals and objectives (purposes to be accomplished); 4) utilizes tax levy or other public funds; 5) a systematically organized way for achieving the goals and objectives, i.e., "the program"; and 6) authorization of law for an executive agency to act in appropriate and necessary ways, in order to participate in initiating and/or administering the program.

26. Term of Act - A special meaning given to an ordinary word or phrase when it is used as part of a professional vocabulary.

27. Word(s) or Phrase(s) Needing Clarification or Amplification - Words or phrases (typically in a law or policy statement) which do not provide enough information to permit the administrators of a public program to know how to take responsible action; e.g., "except in the case of emergency ..."; e.g., "Participants may receive a stipend of $30 for each dependent". (In these examples, the head of the agency or staff acting for him or her, needs to spell out the scope and content of each such word or phrase.)

Notes on Required Reading

A number of the items omitted can be readily replaced through the development of instructional materials by faculty or the acquisition of comparable materials from appropriate agencies or quasi-public agencies of relevance to a particular instructional program or the perspectives of students in a program. Some of the items omitted are self explanatory, based on the title. In selecting appropriate substitute materials, assessment method and criteria for the unit in which they appear are appropriate guides, as well as student assessment items included in the pre/post test and in-semester evaluations.

Unit (c)

Economic Opportunity Act of 1964 - "Mark-up" of this statute linking terms utilized in program-oriented statutory analysis to key sections of the Act.

Developed by the Theory/Practice Curriculum Project
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OFFICE OF ECONOMIC
OPPORTUNITY
EXECUTIVE OFFICE OF THE PRESIDENT
WASHINGTON, D.C. 20506
OFFICIAL BUSINESS

POSTAGE AND FEES PAID
OFFICE OF ECONOMIC OPPORTUNITY

ECONOMIC OPPORTUNITY ACT OF 1964, AS AMENDED[1]

AN ACT

To mobilize the human and financial resources of the Nation to combat poverty in the United States.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That this Act may be cited as the "Economic Opportunity Act of 1964."

FINDINGS AND DECLARATION OF PURPOSE

SEC. 2. Although the economic well-being and prosperity of the United States have progressed to a level surpassing any achieved in world history, and although these benefits are widely shared throughout the Nation, poverty continues to be the lot of a substantial number of our people. The United States can achieve its full economic and social potential as a nation only if every individual has the opportunity to contribute to the full extent of his capabilities and to participate in the workings of our society. It is therefore, the policy of the United States to eliminate the paradox of poverty in the midst of plenty in this Nation by opening to everyone the opportunity for education and training, the opportunity to work, and the opportunity to live in decency and dignity. It is the purpose of this Act to strengthen, supplement, and coordinate efforts in furtherance of that policy.

It is the sense of the Congress that it is highly desirable to employ the resources of the private sector of the economy of the United States in all such efforts to further the policy of this Act.

42 USC 2701

Problem or Need to be met

rationale (ie... the legitimate concern);

desirable goal(s) or objective

approach to achieve goal(s)

TITLE I—WORK TRAINING AND WORK-STUDY PROGRAMS

PART A—JOB CORPS

STATEMENT OF PURPOSE

SEC. 101. This part establishes a Job Corps for low-income, disadvantaged young men and women, sets forth standards and procedures for selecting individuals as enrollees in the Job Corps, authorizes the establishment of residential and/or nonresidential centers in which enrollees will participate in intensive programs of education, vocational training, work experience, counseling, and other activities, and prescribes various other powers, duties, and responsibilities incident to the operation and continuing development of the Job Corps. Its purpose is to assist young persons who need and can benefit from an unusually intensive program, operated in a group setting, to become more responsible, employable, and productive citizens; and to do so in a way that contributes, where feasible, to the development of National, State, and

42 USC 2711

population

program strategy (x)

goal [redacted]

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[1] Amendments included through December 30, 1969.

(translated into the "to ... by ..." form, this might read: to enable enrollees to participate .... by establishing ....)

community resources, and to the development and dissemination of techniques for working with the disadvantaged that can be widely utilized by public and private institutions and agencies.

ESTABLISHMENT OF THE JOB CORPS

42 USC 2712 SEC. 102. There is hereby established within the Office of Economic Opportunity a "Job Corps".

INDIVIDUALS ELIGIBLE FOR THE JOB CORPS

42 USC 2713 SEC. 103. To become an enrollee in the Job Corps, a young man or woman must be a person who—

(1) is a permanent resident of the United States who has attained age fourteen but not attained age twenty-two at the time of enrollment;

(2) is a low-income individual or member of a low-income family who requires additional education, training, or intensive counseling and related assistance in order to secure and hold meaningful employment, participate successfully in regular schoolwork, qualify for other training programs suitable to his needs, or satisfy Armed Forces requirements;

(3) is currently living in an environment so characterized by cultural deprivation, a disruptive homelife, or other disorienting conditions as to substantially impair his prospects for successful participation in any other program providing needed training, education, or assistance;

(4) is determined, after careful screening as provided for in sections 104 and 105, to have the present capabilities and aspirations needed to complete and secure the full benefit of the program authorized in this part, and to be free of medical and behavioral problems so serious that he could not or would not be able to adjust to the standards of conduct and discipline or pattern of work and training which that program involves; and

(5) meets such other standards for enrollment as the Director may prescribe (including special standards for the enrollment on a residential basis of 14 and 15 year olds) and agrees to comply with all applicable Job Corps rules and regulations.

eligibility ties to participation

SCREENING AND SELECTION OF APPLICANTS—GENERAL PROVISIONS

42 USC 2714 SEC. 104. (a) The Director shall prescribe necessary rules for the screening and selection of applicants for enrollment in the Job Corps. To the extent practicable, these rules shall be implemented through arrangements which make use of agencies and organizations such as community action agencies, public employment offices, professional groups, and labor organizations. The rules shall establish specific standards and procedures for conducting screening and selection activities; shall encourage recruitment through agencies and individuals having contact with youths over substantial periods of time and able, accordingly, to offer reliable information as to their needs and problems; and shall provide for necessary consultation with other individuals and organizations, including court, probation, parole, law enforcement, education, welfare, and medical authorities and advisers. They shall also provide for—

(1) the interviewing of each applicant for the purpose of—

(A) determining whether his educational and vocational needs can best be met through the Job Corps or any alternative program in his home community;

(B) obtaining from the applicant pertinent data relating to his background, needs, and interests for evaluation in determining his eligibility and potential assignment; and

(C) giving the applicant a full understanding of the Job Corps program and making clear what will be expected of him as an enrollee in the event of his acceptance.

(2) the conduct of a careful and systematic inquiry concerning the applicant's background for the effective development and, as appropriate, clarification of information concerning his age, citizenship, school and draft status, health, employability, past behavior, family income, environment, and other matters related to a determination of his eligibility.

(b) The Director shall make no payments to any individual or organization solely as compensation for the service of referring the names of candidates for enrollment in the Job Corps.

limitation on authority

(c) The Director shall take all necessary steps to assure that the enrollment of the Job Corps includes an appropriate number of candidates selected from rural areas, taking into account the proportion of eligible youth who reside in rural areas and the need to provide residential facilities for such youth in order to meet problems of wide geographic dispersion.

these requirements (cont'd, next page) are the "criteria" set by Congress for the rules which the Director promulgates

SCREENING AND SELECTION—SPECIAL LIMITATIONS

42 USC 2715 SEC. 105. (a) No individual shall be selected as an enrollee unless it is determined that there is reasonable expectation that he can participate successfully in group situations and activities with other enrollees, that he is not likely to engage in actions or behavior that would prevent other enrollees from receiving the benefit of the program or be incompatible with the maintenance of sound discipline and satisfactory relationships between any center to which he might be assigned and surrounding communities, and that he manifests a basic understanding of both the rules to which he will be subject and of the consequences of failure to observe those rules. Before selecting an individual who has a history of serious and violent behavior against persons or property, repetitive delinquent acts, narcotics addiction, or other major behavioral aberrations, the Director shall obtain a finding from a professionally qualified person who knows such potential enrollee's individual situation that there is reasonable expectation that his conduct will not be inimical to the goals and

reasonable expectation in this phrase is an example of words needing clarification or amplification.

success of the Job Corps and that the opportunity provided by the Job Corps will help him to overcome his problem.

(b) An individual who otherwise qualifies for enrollment may be selected even though he is on probation or parole, but only if his release from the immediate supervision of the cognizant probation or parole officials is mutually satisfactory to those officials and the Director and does not violate applicable laws or regulations, and if the Director has arranged to provide all supervision of the individual and all reports to State or other authorities that may be necessary to comply with applicable probation or parole requirements.

ENROLLMENT AND ASSIGNMENT

SEC. 106. (a) No individual may be enrolled in the Job Corps for more than two years, except as the Director may authorize in special cases. 42 USC 2716

(b) Enrollment in the Job Corps shall not relieve any individual of obligations under the Universal Military Training and Service Act (50 U.S.C. App. 451 et seq.).

(c) Each enrollee (other than a native and citizen of Cuba described in section 609(3) of this Act or a permanent resident of the Trust Territory of the Pacific Islands) must take and subscribe to an oath or affirmation in the following form: "I do solemnly swear (or affirm) that I bear true faith and allegiance to the United States of America and will support and defend the Constitution and laws of the United States against all its enemies foreign and domestic." The provisions of section 1001 of title 18, United States Code, shall be applicable to this oath or affirmation.

42 USC 2716 (d) After the Director has determined whether an enrollee is to be assigned to a men's training center, a conservation center, or a women's training center, the center to which he shall be assigned shall be that center of the appropriate type in which a vacancy exists which is closest to the enrollee's home, except that the Director, on an individual basis, may waive this requirement when overriding considerations justify such action. Assignments to centers in areas more remote from the enrollee's home shall be carefully limited to situations in which such action is necessary in order to insure an equitable opportunity for disadvantaged youth from various sections of the country to participate in the program, to prevent undue delays in the assignment of individual enrollees, to provide an assignment which adequately meets the educational or other needs of the enrollee or is necessary for efficiency and economy in the operation of the program.

(e) Assignments of male enrollees shall be made so that, at any one time, at least 40 per centum of those enrollees are assigned to conservation centers as described in section 107, or to other centers or projects where their work activity is primarily directed to the conservation, development, or management of public natural resources or recreational areas and is performed

under the direction of personnel of agencies regularly responsible for those functions.

JOB CORPS CENTERS

delegation of authority

SEC. 107. (a) The Director may make agreements with Federal, State, or local agencies, or private organizations for the establishment and operation of Job Corps centers. These centers may be residential and/or nonresidential in character and shall be designed and operated so as to provide enrollees, in a well-supervised setting, with education, vocational training, work experience (either in direct program activities or through arrangements with employers), counseling, and other services appropriate to their needs. 42 USC 2717 The centers shall include conservation centers, to be known as Civilian Conservation Centers, to be located primarily in rural areas and to provide, in addition to other training and assistance, programs of work experience focused upon activities to conserve, develop, or manage public natural resources or public recreational areas or to assist in developing community projects in the public interest. They shall also include men's and women's training centers to be located in either urban or rural areas and to provide activities which shall include training and other services appropriate for enrollees who can be expected to participate successfully in training for specific types of skilled or semiskilled employment.

(b) To the extent feasible, men's and women's training centers shall offer education and vocational training opportunities, together with supportive services, on a nonresidential basis to participants in programs described in part B of this title. Such opportunities may be offered on a reimbursable basis or through such other arrangements as the Director may specify.

MANDATES

BENEFITS

PROGRAM ACTIVITIES

SEC. 108. (a) Each Job Corps center shall be operated so as to provide enrollees with an intensive, well-organized and fully supervised program of education, vocational training, work experience, planned avocational and recreational activities, physical rehabilitation and development, and counseling. 42 USC 2718 To the fullest extent feasible, the required program for each enrollee shall include activities designed to assist him in choosing realistic career goals, coping with problems he may encounter in his home community or in adjusting to a new community, and planning and managing his daily affairs in a manner that will best contribute to long-term upward mobility. Center programs shall include required participation in center maintenance support and related work activity as appropriate to assist enrollees in increasing their sense of contribution, responsibility, and discipline.

(b) To the extent practicable, the Director may arrange for enrollee education and vocational training through local public or private educational agencies, vocational educational institutions, or technical institutes where these institutions or institutes can provide training comparable in cost and substantially equivalent in quality to that which he could provide through other means.

(c) Arrangements for education shall, to the extent feasible, provide opportunities for qualified enrollees to obtain the equivalent of a certificate of graduation from high school; and the Director with the concurrence of the Secretary of Health, Education, and Welfare, shall develop certificates to be issued to enrollees who have satisfactorily completed their services in the Job Corps and which will reflect the enrollee's level of educational attainment.

(d) The Director shall prescribe regulations to assure that Job Corps work-experience programs or activities do not displace presently employed workers or impair existing contracts for service and will be coordinated with other work-experience programs in the community.

ALLOWANCE AND SUPPORT

benefits to participants

42 USC 2719

SEC. 109. (a) The Director may provide enrollees with such personal, travel, and leave allowances, and such quarters, subsistence, transportation, equipment, clothing, recreational services, and other expenses as he may deem necessary or appropriate to their needs. Personal allowances shall be established at a rate not to exceed $35 per month during the first six months of an enrollee's participation in the program and not to exceed $50 per month thereafter, except that allowances in excess of $35 per month, but not exceeding $50 per month, may be provided from the beginning of an enrollee's participation if it is expected to be of less than six months' duration and the Director is authorized to pay personal allowances in excess of the rates specified herein in unusual circumstances as determined by him. Such allowances shall be graduated up to the maximum so as to encourage continued participation in the program, achievement and the best use by the enrollee of the funds so provided and shall be subject to reduction in appropriate cases as a disciplinary measure. To the degree reasonable, enrollees shall be required to meet or contribute to costs associated with their individual comfort and enjoyment from their personal allowances.

word needs clarification

mandate

(b) The Director shall prescribe specific rules governing the accrual of leave by enrollees. Except in the case of emergency, he shall in no event assume transportation costs connected with leave of any enrollee who has not completed at least six months service in the Job Corps.

(c) The Director may provide each former enrollee, upon termination, a readjustment allowance at a rate not to exceed $50 for each month of satisfactory participation in the Job Corps. No enrollee shall be entitled to a readjustment allowance, however, unless he has remained in the program at least ninety days, except in unusual circumstances as determined by the Director. The Director may, from time to time, advance to or on behalf of an enrollee such portions of his readjustment allowance as

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word or phrase needing clarification

word or phrase needs clarification

42 USC 2719

the Director deems necessary to meet extraordinary financial obligations incurred by that enrollee; and he may also, pursuant to rules or regulations, reduce the amount of an enrollee's readjustment allowance as a penalty for misconduct during participation in the Job Corps. In the event of an enrollee's death during his period of service, the amount of any unpaid readjustment allowance shall be paid in accordance with the provisions of section 5582 of title 5, United States Code.

(d) Under such circumstances as the Director may determine, a portion of the readjustment allowance of an enrollee not exceeding $25 for each month of satisfactory service may be paid during the period of service of the enrollee directly to a spouse or child of an enrollee or to any other relative who draws substantial support from the enrollee, and any sum so paid shall be supplemented by the payment of an equal amount by the Director.

STANDARDS OF CONDUCT

mandate

42 USC 2720

SEC. 110. (a) Within Job Corps centers, standards of conduct and deportment shall be provided and stringently enforced. In the case of violations committed by enrollees, dismissals from the Corps or transfers to other locations shall be made in every instance where it is determined that retention in the Corps, or in the particular Job Corps center, will jeopardize the enforcement of such standards of conduct and deportment or diminish the opportunity of other enrollees.

(b) In order to promote the proper moral and disciplinary conditions in the Job Corps, the individual directors of Job Corps centers shall be given full authority to take appropriate disciplinary measures against enrollees including, but not limited to, dismissal from the Job Corps, subject to expeditious appeal procedures to higher authority, as provided under regulations set by the Director.

COMMUNITY PARTICIPATION

42 USC 2721

SEC. 111. The Director shall encourage and shall cooperate in activities designed to establish a mutually beneficial relationship between Job Corps centers and surrounding or nearby communities. These activities shall include the establishment of community advisory councils to provide a mechanism for joint discussion of common problems and for planning programs of mutual interest. Whenever possible, such advisory councils shall be formed by and coordinated under the local community action agency. Youth participation in advisory council affairs shall be encouraged and where feasible separate youth councils may be established, to be composed of representative enrollees and representative young people from the communities. The Director shall establish necessary rules and take necessary action to assure that each center is operated in a manner consistent with this section with a view to achieving, so far as possible, objectives which shall include: (1) giving community officials appropriate advance notice of changes in center rules, procedures, or activities that

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may affect or be of interest to the community; (2) affording the community a meaningful voice in center affairs of direct concern to it, including policies governing the issuance and terms of passes to enrollees; (3) providing center officials with full and rapid access to relevant community groups and agencies, including law enforcement agencies and agencies which work with young people in the community; (4) encouraging the fullest practicable participation of enrollees in programs or projects for community improvement or betterment, with adequate advance
42 USC 2721 consultation with business, labor, professional, and other interested community groups and organizations; (5) arranging recreational, athletic, or similar events in which enrollees and local residents may participate together; (6) providing community residents with opportunities to work with enrollees directly, as part-time instructors, tutors, or advisers, either in the center or in the community; (7) developing, where feasible, job or career opportunities for enrollees in the community; and (8) promoting interchanges of information and techniques among, and cooperative projects involving, the center and community schools, educational institutions, and agencies serving young people.

COUNSELING AND JOB PLACEMENT

SEC. 112. (a) The Director shall provide for the counseling and testing of each enrollee at regular intervals to follow his progress in educational and vocational programs.

(b) The Director shall counsel and test each enrollee prior to his scheduled termination to determine his capabilities and
42 USC 2723 shall seek to place him in a job in the vocation for which he is trained and in which he is likely to succeed, or shall assist him in attaining further training or education. In placing enrollees in jobs, the Director shall utilize the United States Employment Service to the fullest extent possible.

(c) The Secretary of Labor shall make arrangements to determine the status and progress of terminees and to assure that their needs for further education, training, and counseling may be met.

(d) Upon termination of an enrollee's training, a copy of his pertinent records, including data derived from his counseling and testing, other than confidential information, shall be made available immediately to the Department of Labor and the Office of Economic Opportunity.

(e) The Director shall, to the extent feasible in accordance with section 637(b) of this Act, arrange for the readjustment allowance provided for in section 109(c) of this Act, less any sums already paid pursuant to subsection (d) of that section, to be paid to former enrollees (who have not already found employment) at the public employment service office nearest the home of any such former enrollee, if he is returning to his home, or at the nearest such office to the community in which the former enrollee has indicated an intent to reside. The Secretary of Labor shall make arrangements by which public employment service officers will maintain records regarding former enrollees who are thus paid at such offices including information as to—

(1) the number of former enrollees who have declined the offices' help in finding a job;

(2) the number who were successfully placed in jobs without further education or training;

(3) the number who were found to require further training before being placed in jobs and the types of training programs in which they participated; and

(4) the number who were found to require further remedial or basic education in order to qualify for training programs, together with information as to the types of programs for which such former enrollees were found unqualified for enrollment.

If the Director deems it advisable to utilize the services of any
other public or private organization or agency in lieu of the public 42 USC 2723
employment office, he shall arrange for that organization or agency to make the payment of the readjustment allowance and maintain the same types of records regarding former enrollees as are herein specified for maintenance by public employment service offices, and shall furnish copies of such records to the Secretary of Labor. In the case of enrollees who are placed in jobs by the Director prior to the termination of their participation in the Job Corps, the Director shall maintain records providing pertinent placement and follow-up information.

EVALUATION: EXPERIMENTAL AND DEVELOPMENTAL PROJECTS

Evaluation provision

SEC. 113. (a) The Director shall provide for the careful and systematic evaluation of the Job Corps program, directly or by contracting for independent evaluations, with a view to measuring specific benefits, so far as practicable, and providing information needed to assess the effectiveness of program procedures, 42 USC 2724
policies, and methods of operation. In particular, this evaluation shall seek to determine the costs and benefits resulting from the use of residential as opposed to nonresidential facilities, from the use of facilities combining residential and nonresidential components from the use of centers with large as opposed to small enrollments, and from the use of different types of program sponsors, including public agencies, institutions of higher education, boards of education, and private corporations. The evaluation shall also include comparisons with proper control groups composed of persons who have not participated in the program. In carrying out such evaluations, the Director shall arrange for obtaining the opinions of participants about the strengths and weaknesses of the program and shall consult with other agencies and officials in order to compare the relative effectiveness of Job Corps techniques with those used in other programs, and shall endeavor to secure, through employers, schools, or other Government and private agencies specific information concerning the residence of former enrollees, their employment status, compensation, and success in adjusting to community life. He shall also

→ goal of evaluation

← objective of evaluation

secure, to the extent feasible, similar information directly from enrollees at appropriate intervals following their completion of the Job Corps program. The results of such evaluation shall be published and shall be summarized in the report required by section 608.

(b) The Director may undertake or make grants or contracts for experimental, research, or demonstration projects directed to developing or testing ways of securing the better use of facilities, of encouraging a more rapid adjustment of enrollees to community life that will permit a reduction in the period of their enrollment, of reducing transportation and support costs, or of otherwise promoting greater efficiency and effectiveness in the program authorized under this part. These projects shall include one or more projects providing youths with education, training, and other supportive services on a combined residential and nonresidential basis. The Director may, if he deems it advisable, undertake one or more pilot projects designed to involve youth who have a history of serious and violent behavior against persons or property, repetitive delinquent acts, narcotics addiction, or other behavioral aberrations. Projects under this subsection shall be developed after appropriate consultation with other Federal or State agencies conducting similar or related programs or projects and with the prime sponsors, as described in part B of this title, in the communities where the projects will be carried out. They may be undertaken jointly with other Federal or federally assisted programs, including programs under part B of this title, and funds otherwise available for activities under those programs shall, with the consent of the head of any agency concerned, be available to projects under this section to the extent they include the same or substantially similar activities. The Director may waive any provision of this title which he finds would prevent the carrying out of elements of projects under this subsection essential to a determination of their feasibility and usefulness. He shall, either in the report required by section 608 or a separate annual document, report to the Congress concerning the actions taken under this section, including a full description of progress made in connection with combined residential and nonresidential projects.

42 USC 2724 (c) In order to determine whether upgraded vocational education schools could eliminate or substantially reduce the school dropout problem, and to demonstrate how communities could make maximum utilization of existing educational and training facilities, the Director, in cooperation with the Commissioner of Education, shall enter into one or more agreements with State educational agencies to pay the cost of establishing and operating model community vocational education schools and skill centers. Such facilities shall be centrally located in an urban area having a high dropout rate, a large number of unemployed youths, and a need in the area for a combination vocational school and skill center. No such agreement shall be entered into unless it contains provisions designed to assure that—

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program strategy which has two objectives; one is more common)

Criteria for agreements

(1) a job survey be made of the area;

(2) the training program of the school and skill center reflect the job market needs as projected by the survey;

(3) an advisory committee composed of representatives of business, labor, education, and community leaders be formed to follow the center's activities and to make periodic recommendations regarding its operation;

(4) arrangements have been worked out with schools in the area and the administrator of the skill center for maximum utilization of the center both during and after school hours; and

(5) such accounting and evaluation procedures as the Director and the Commissioner of Education deem necessary to carry out the purpose of this project will be provided.

ADVISORY BOARDS AND COMMITTEES

SEC. 114. The Director shall make use of advisory committees or boards in connection with the operation of the Job Corps, and the operation of Job Corps centers, whenever he determines that the availability of outside advice and counsel on a regular basis would be of substantial benefit in identifying and overcoming problems, in planning program or center development, or in strengthening relationships between the Job Corps and agencies, institutions, or groups engaged in related activities. Nothing in this section shall be considered as limiting the functions of the National Advisory Council, established pursuant to section 605 of this Act, with respect to any matter or question involving the Job Corps; but this shall not prevent the establishment through or in cooperation with the National Advisory Council of one or more boards or committees under this section. 42 USC 2725

PARTICIPATION OF THE STATES

SEC. 115 (a) The Director shall take necessary action to facilitate the effective participation of States in the Job Corps program, including, but not limited to, consultation with appropriate State agencies on matters pertaining to the enforcement of applicable State laws, standards of enrollee conduct and discipline, the development of meaningful work experience and other activities for enrollees, and coordination with State-operated programs.

(b) The Director may enter into agreements with States to assist in the operation or administration of State-operated programs which carry out the purpose of this part. The Director may, pursuant to regulations, pay part or all of the operative or administrative costs of such programs. 42 USC 2726

delegation o authorit to a

(c) No Job Corps center or other similar facility designed to carry out the purpose of this Act shall be established within a State unless a plan setting forth such proposed establishment has been submitted to the Governor, and such plan has not been disapproved by him within 30 days of such submission.

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(1) A special program to be known as "Mainstream" which involves work activities directed to the needs of those chronically unemployed poor who have poor employment prospects and are unable, because of age, physical condition, obsolete or inadequate skills, declining economic conditions, other causes of a lack of employment opportunity, or otherwise, to secure appropriate employment or training assistance under other programs, and which, in addition to other services provided, will enable such persons to participate in projects for the betterment or beautification of the community or area served by the program, including without limitation activities which will contribute to the management conservation, or development of natural resources, recreational areas, Federal, State, and local government parks, highways, and other lands, the rehabilitation of housing, the improvement of public facilities, and the improvement and expansion of health, education, day care, and recreation services;

(2) A special program to be known as "New Careers" which will provide unemployed or low-income persons with jobs leading to career opportunities, including new types of careers, in programs designed to improve the physical, social, economic, or cultural condition of the community or area served in fields of public service, including without limitation health, education, welfare, recreation, day care, neighborhood redevelopment, and public safety, which provide maximum prospects for on-the-job training, promotion, and advancement and continued employment without Federal assistance, which give promise of contributing to the broader adoption of new methods of structuring jobs and new methods of providing job ladder opportunities, and which provide opportunities for further occupational training to facilitate career advancement.

(b) The Director is authorized to provide financial and other assistance to insure the provision of supportive and follow-up services to supplement programs under this part including health services, counseling, day care for children, transportation assistance, and other special services necessary to assist individuals to achieve success in these programs and in employment.

ADMINISTRATIVE REGULATIONS

SEC. 163. The Director shall prescribe regulations to assure that programs under this part have adequate internal administrative controls, accounting requirements, personnel standards, evaluation procedures, availability of in-service training and technical assistance programs, and other policies as may be necessary to promote the effective use of funds.

42 USC 2769b

SPECIAL CONDITIONS

SEC. 164. (a) The Director shall not provide financial assistance for any program under this part unless he determines, in accordance with such regulations as he may prescribe, that—

42 USC 2769c

criteria for programs

(1) no participant will be employed on projects involving political parties, or the construction, operation, or maintenance of so much of any facility as is used or to be used for sectarian instruction or as a place for religious worship;

(2) the program will not result in the displacement of employed workers or impair existing contracts for services, or result in the substitution of Federal for other funds in connection with work that would otherwise be performed;

(3) the rates of pay for time spent in work-training and education, and other conditions of employment, will be appropriate and reasonable in the light of such factors as the type of work, geographical region, and proficiency of the participant; and

(4) the program will, to the maximum extent feasible, contribute to the occupational development and upward mobility of individual participants.

(b) For programs which provide work and training related to physical improvements, preference shall be given to those improvements which will be substantially used by low-income persons and families or which will contribute substantially to amenities or facilities in urban or rural areas having high concentrations or proportions of low-income persons and families.

(c) Programs approved under this part shall, to the maximum extent feasible, contribute to the elimination of artificial barriers to employment and occupational advancement.

(d) Projects under this part shall provide for maximum feasible use of resources under other Federal programs for work and training and the resources of the private sector.

eligibility to participate

PROGRAM PARTICIPANTS

SEC. 165. (a) Participants in programs under this part must be unemployed or low-income persons. The Director, in consultation with the Commissioner of Social Security, shall establish criteria for low income, taking into consideration family size, urban-rural and farm-nonfarm differences, and other relevant factors. Any individual shall be deemed to be from a low-income family if the family receives cash welfare payments.

mandate

42 USC 2769d

(b) Participants must be permanent residents of the United States or of the Trust Territory of the Pacific Islands.

(c) Participants shall not be deemed Federal employees and shall not be subject to the provisions of law relating to Federal employment, including those relating to hours of work, rates of compensation, leave, unemployment compensation, and Federal employment benefits.

EQUITABLE DISTRIBUTION OF ASSISTANCE

SEC. 166. The Director shall establish criteria designed to achieve an equitable distribution of assistance along the States. In develop-

42 USC 2769e

"criteria" for "allocation" of funds for assistance. (These are very flexible examples & not typical) ing those criteria, he shall consider, among other relevant factors, the ratios of population, unemployment, and family income levels. Of the sums appropriated or allocated for any fiscal year for programs authorized under this part not more than 12½ per centum shall be used within any one State.

LIMITATIONS ON FEDERAL ASSISTANCE

42 USC 2969f SEC. 167. Programs assisted under this part shall be subject to the provisions of section 131 of this Act.

PART F[1]—DURATION OF PROGRAM

42 USC 2771 SEC. 171. The Director shall carry out the programs under this title during the fiscal year ending June 30, 1967, and the five succeeding fiscal years. For each such fiscal year only such sums may be appropriated as the Congress may authorize by law.

TITLE II—URBAN AND RURAL COMMUNITY ACTION PROGRAMS

STATEMENT OF PURPOSE

SEC. 201. (a) This title provides for community action agencies and programs, prescribes the structure and describes the functions of community action agencies and authorizes financial assistance to community action programs and related projects and activities. Its basic purpose is to stimulate a better focusing of all available local, State, private, and Federal resources upon the goal of enabling low-income families, and low-income individuals of all ages, in rural and urban areas, to attain the skills, knowledge, and motivations and secure the opportunities needed for them to become fully self-sufficient. Its specific purposes are to promote, as methods of achieving a better focusing of resources on the goal of individual and family self-sufficiency— (to promote ...)

Goal

42 USC 2781 (1) [the strengthening of community capabilities for planning and coordinating Federal, State, and other assistance related to the elimination of poverty,] so that this assistance, through the efforts of local officials, organizations, and interested and affected citizens, can be made more responsive to local needs and conditions;

(2) [the better organization of a range of services related to the needs of the poor,] so that these services may be made more effective and efficient in helping families and individuals to overcome particular problems in a way that takes account of, and supports their progress in overcoming, related problems;

(3) [the greater use, subject to adequate evaluation, of new types of services and innovative approaches in attacking causes of poverty,] so as to develop increasingly effective methods of employing available resources;

(4) [the development and implementation of all programs and projects designed to serve the poor or low-income areas with the maximum feasible participation of residents of the areas and members of the groups served,] so as to best stimulate and take full advantage of capabilities for self-advancement and assure that those programs and projects are otherwise meaningful to and widely utilized by their intended beneficiaries; and

(5) [the broadening of the resource base of programs directed to the elimination of poverty,] so as to secure, in addition to the services and assistance of public officials, private religious, charitable, and neighborhood organizations, and individual citizens, a more active role for business, labor, and professional groups able to provide employment opportunities or otherwise influence the quantity and quality of services of concern to the poor.

(b) It is further declared to be the purpose of this title and the policy of the Office of Economic Opportunity to provide for basic education, health care, vocational training, and employment opportunities in rural America to enable the poor living in rural areas to remain in such areas and become self-sufficient therein. It shall not be the purpose of this title or the policy of the Office of Economic Opportunity to encourage the rural poor to migrate to urban areas, inasmuch as it is the finding of Congress that continuation of such migration is frequently not in the best interests of the poor and tends to further congest the already overcrowded slums and ghettos of our Nation's cities.

PART A—COMMUNITY ACTION AGENCIES AND PROGRAMS

DESIGNATION OF COMMUNITY ACTION AGENCIES: COMMUNITY ACTION PROGRAMS

42 USC 2790 SEC. 210. (a) A community action agency shall be a State or political subdivision of a State (having elected or duly appointed governing officials), or a combination of such political subdivisions, or a public or private nonprofit agency or organization which has been designated by a State or such a political subdivision or combination of such subdivisions, which—

(1) has the power and authority and will perform the functions set forth in section 212, including the power to enter into contracts with public and private nonprofit agencies and organizations to assist in fulfilling the purposes of this title, and

(2) is determined to be capable of planning, conducting, administering and evaluating a community action program

Each the phrases bracketed in (1)-(5), following the words "to promote" each constitute an objective (specific purposes) i.e. more of developing and administering such programs, and (ii) the total costs of such programs. In any case in which the Director determines that the cost of administering such programs does not exceed 15 per centum of such total costs but is, in his judgment, excessive, he shall forthwith require such community action agency to take such steps prescribed by him as will eliminate such excessive administrative cost, including the sharing by one or more such community action agencies of a common director and other administrative personnel. The Director may waive the limitation prescribed by this paragraph for specific periods of time not to exceed six months whenever he determines that such a waiver is necessary in order to carry out the purposes of this title.

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[1] Section 261 of the Economic Opportunity Amendments of 1969, Public Law 91-177, December 30, 1969, 83 Stat. 827, 833, redesignated part E as part F and renumbered section 161 as section 171.

DURATION OF PROGRAM

SEC. 245. The Director shall carry out the programs provided for in this title during the fiscal year ending June 30, 1967, and the five succeeding fiscal years. For each such fiscal year only such sums may be appropriated as the Congress may authorize by law.

TITLE III—SPECIAL PROGRAMS TO COMBAT POVERTY IN RURAL AREAS

program strategy

PART A—RURAL LOAN PROGRAMS

STATEMENT OF PURPOSE

SEC. 301. It is the purpose of this part to meet some of the special needs of low-income rural families by establishing a program of loans to assist in raising and maintaining their income living standards.

LOANS TO FAMILIES

SEC. 302.(a) The Director is authorized to make loans having a maximum maturity of 15 years and in amounts not resulting in an aggregate principal indebtedness of more than $3,500 at any one time to any low income rural family where, in the judgment of the Director, such loans have a reasonable possibility of effecting a permanent increase in the income of such families, or, in the case of the elderly, will contribute to the improvement of their living or housing conditions by assisting or permitting them to— 61

(A) acquire or improve real estate or reduce encumbrances or erect improvements thereon

161

(B) operate or improve the operation of farms not larger than family sized, including but not limited to the purchase of feed, seed, fertilizer, livestock, poultry, and equipment, or

(C) participate in cooperative associations; and/or to finance non-agricultural enterprises which will enable such families to supplement their income.

criteria for loans to the elderly

(b) Loans under this section shall be made only if the family is not qualified to obtain such funds by loan under other Federal programs.

COOPERATIVE ASSOCIATIONS

Delegation of authority

SEC. 303. The Director is authorized to make loans to local cooperative associations furnishing essential processing, purchasing, or marketing services, supplies, or facilities predominantly to low-income rural families. 42 USC 2852

LIMITATIONS ON ASSISTANCE

Limitation on assist.

SEC. 304. No financial or other assistance shall be provided under this part unless the Director determines that— 42 USC 2853

(a) the providing of such assistance will materially further the purposes of this part, and

(b) in the case of assistance provided pursuant to section 303, the applicant is fulfilling or will fulfill a need for services, facilities, or activities which is not otherwise being met.

LOAN TERMS AND CONDITIONS

SEC. 305. Loans pursuant to sections 302 and 303 shall have such terms and conditions as the Director shall determine, subject to the following limitations:

(a) there is reasonable assurance of repayment of the loan;

(b) the credit is not otherwise available on reasonable terms from private sources or other Federal, State, or local programs;

(c) the amount of the loan, together with other funds available, is adequate to assure completion of the project or achievement of the purposes for which the loan is made;

(d) the loan bears interest at a rate not less than (1) a rate determined by the Secretary of the Treasury, taking into consideration the average market yield on outstanding Treasury obligations of comparable maturity, plus (2) such additional charge, if any, toward covering other costs of the program as the Director may determine to be consistent with its purposes; 42 USC 2854

(e) with respect to loans made pursuant to section 303, the loan is repayable within not more than thirty years; and

(f) no financial or other assistance shall be provided under this part to or in connection with any corporation or cooperative organization for the production of agricultural commodities or for manufacturing purposes: *Provided*, that (1) packing, canning, cooking, freezing, or other processing used in preparing or marketing edible farm products, including, dairy products, shall not be regarded as manufacturing merely by reason of the fact that it results in the creation of a new or different substance; and (2) a cooperative organization formed by and consisting of members of an Indian tribe (including any tribe with whom the special Federal relationship with Indians has been terminated) engaged in the production of agricultural commodities, or in manufacturing products, on an Indian reservation (or for- 162

(c) The Advisory Council shall make an annual report of its findings and recommendations to the President not later than March 31 of each calendar year beginning with the calendar year 1967. The President shall transmit each such report to the Congress together with his comments and recommendations.

ANNOUNCEMENT OF RESEARCH OR DEMONSTRATION CONTRACTS

SEC. 606. (a) The Director or the head of any Federal agency administering a program under this Act shall make a public announcement concerning:

42 USC 2946

(1) The title, purpose, intended completion date, identity of the contractor, and proposed cost of any contract with a private or non-Federal public agency or organization for any demonstration or research project; and

(2) The results, findings, data, or recommendations made or reported as a result of such activities.

(b) The public announcements required by subsection (a) shall be made within thirty days of entering into such contracts and thereafter within thirty days of the receipt of such results.

(c) It shall be the duty of the Comptroller General to assure that the requirements of this section are met, and he shall at once report to the Congress concerning any failure to comply with these requirements.

LABOR STANDARDS

SEC. 607. All laborers and mechanics employed by contractors or subcontractors in the construction, alteration or repair, including painting and decorating of projects, buildings and works which are federally assisted under this Act shall be paid wages at rates not less than those prevailing on similar construction in the locality as determined by the Secretary of Labor in accordance with the Davis-Bacon Act, as amended (40 U.S.C. 276a—276a-5). The Secretary of Labor shall have, with respect to such labor standards, the authority and functions set forth in Reorganization Plan Numbered 14 of 1950 (15 F.R. 3176; 64 Stat. 1267; 5 U.S.C. 133—133z-15), and section 2 of the Act of June 1, 1934, as amended (48 Stat. 948, as amended; 40 U.S.C. 276 (C)).

42 USC 2947

REPORTS

SEC. 608. Not later than one hundred and twenty days after the close of each fiscal year, the Director shall prepare and submit to the President for transmittal to the Congress a full and complete report on the activities of the Office during such year.

42 USC 2948

DEFINITIONS

SEC. 609. As used in this Act—

(1) the term "State" means a State, the Commonwealth of Puerto Rico, the District of Columbia, Guam, American Samoa, or the Virgin Islands, and for purposes of title I, title II, title III-A, and title IV the meaning of "State" shall also include the Trust Territory of the Pacific Islands, except that when used in section 225 of this Act this term means only a State or the District of Columbia. The term "United States" when used in a geographical sense includes all those places named in the previous sentence, and all other places continental or insular, subject to the jurisdiction of the United States;

definitions

42 USC 2949

definition

(2) the term "financial assistance" when used in titles I, II, III-B, IV, and V-B includes assistance advanced by grant, agreement, or contract, but does not include the procurement of plant or equipment, or goods or services;

definition

(3) the term "permanent resident of the United States" when used in titles I-A and I-B shall include any native and citizen of Cuba who arrived in the United States from Cuba as a non-immigrant or as a parolee subsequent to January 1, 1959, under the provisions of section 214(a) or 212(d)(5), respectively, or any person admitted as a conditional entrant under section 203(a) (7), of the Immigration and Nationality Act; and

(4) The term "Director" means the Director of the Office of Economic Opportunity.

definition

PROGRAMS FOR THE ELDERLY POOR

SEC. 610. It is the intention of Congress that whenever feasible the special problems of the elderly poor shall be considered in the development, conduct, and administration of programs under this Act. The Director shall (1) carry out such investigations and studies, including consultations with appropriate agencies and organizations, as may be necessary to develop and carry out a plan for the participation of the elderly poor in programs under this Act, including programs providing employment opportunities, public service opportunities, education and other services and activities which assist the elderly poor to achieve self-sufficiency; (2) maintain a constant review of all programs under this Act to assure that the needs of the elderly poor are given adequate consideration; (3) initiate and maintain interagency liaison with all other appropriate Federal agencies to achieve a coordinated national approach to the needs of the elderly poor; and (4) determine and recommend to the President and the Congress such programs requiring additional authority and the necessary legislation to provide such authority. In exercising his responsibilities under this section, the Director shall cooperate with the Commissioner on Aging. The Director shall describe the ways in which this section has been implemented in the annual report required by section 608.

42 USC 2950

COMPARABILITY OF WAGES

SEC. 610-1.(a) The Director shall take such action as may be necessary to assure that persons employed in carrying out programs financed under part A of title I or title II (except a person compensated as provided in section 602) shall not receive

42 USC 2951

appropriated to carry out title II of this Act, to States and communities to establish information service centers for the collection, correlation, and distribution of information required to further the purposes of this Act.

(c) In order to assure that all appropriate officials are kept fully informed of programs related to this Act, and that maximum use is made of those programs, the Director shall establish procedures to assure prompt distribution to State and local agencies of all current information, including administrative rules, regulations, and guidelines, required by those agencies for the effective performance of their responsibilities.

PROHIBITION

SEC. 636. In order to assure that existing Federal agencies are used to the fullest extent possible in carrying out the purposes of this Act, no funds appropriated to carry out this Act shall be used to establish any new department or office when the intended function is being performed by an existing department or office. 42 USC 2978

SPECIAL RESPONSIBILITIES: TRAINING PROGRAMS

SEC. 637.(a) It shall be the responsibility of the Director, the Secretary of Labor, the Secretary of Health, Education, and Welfare, and the heads of all other departments and agencies concerned, acting through such procedures or mechanisms as the President may prescribe, to provide for, and take such steps as may be necessary and appropriate to implement, the effective coordination of all programs and activities within the executive branch of the Government relating to the training of individuals for the purpose of improving or restoring employability.

42 USC 2979 (b) The Secretary of Labor, pursuant to such agreements as may be necessary or appropriate (which may include arrangements for reimbursement) shall—

(1) be responsible for assuring that the Federal-State employment service provides and develops its capacity for providing maximum support for the programs described in subsection (a); and

(2) obtain from the Secretary of Commerce, the Secretary of Health, Education, and Welfare, the Director of the Office of Economic Opportunity, and the head of any other Federal agency administering a training program, such employment information as will facilitate the placement of individuals being trained.

DEFINITIONS

definition

SEC. 638. As used in this part, "programs related to this Act" and "coordination" shall include the programs and actions described in this section:

(1) "Programs related to this Act" include programs under this Act and all Federal or federally-assisted programs which have objectives which are, in whole or substantial

Cont'd

part, complementary to the purposes of this Act, or which provide resources which may be used in combination with resources under this Act to assist in achieving any of the purposes of this Act.

(2) "Coordination" includes, but is not limited to—

(A) actions to improve the common effectiveness of programs in reaching and serving the poor, such as actions: to extend services to new areas, provide them in a common place, or structure them so that they are more readily accepted or widely utilized; to eliminate procedures or requirements that may be inappropriate for or result in unnecessary hardship to disadvantaged persons with limited education or other special handicaps; to establish common eligibility standards among programs serving substantially similar groups or operating in the same areas; or to develop methods of operation or administration that will provide new employment incentives or opportunities for the poor; 42 USC 2980

(B) actions to promote better use at the State or local level of Federal assistance available under diverse programs, such as actions to establish procedures for cooperation among State or local agencies seeking assistance from different Federal sources with a view to eliminating unnecessary duplication and service gaps and promoting common or complementary priorities; or to modify or improve technical or administrative requirements imposed by different Federal agencies that may operate to increase unnecessarily the burdens of State or local agencies, minimize their opportunities for the imaginative use of Federal assistance, or discourage their cooperation with one another;

(C) actions to promote simplification and efficiencies through the joint or combined use of Federal resources, such as actions to develop new methods of processing requests for assistance or granting assistance that will enable Federal agencies more generally to use resources jointly in support of common objectives; to establish common priorities for purposes of program planning, research and demonstration activities; and to effect combinations among or redirect Federal programs or activities for the purpose of eliminating unnecessary duplication; 42 USC 2980

(D) actions to improve communication and general cooperation, such as actions to strengthen ties among regional offices of different Federal agencies and among such offices and other regional agencies or organizations; to develop and improve procedures by which Federal agencies may act together in promulgating or making available items of information, including information as to the availability and allocation of funds, which are closely related to one another for purposes of State or local planning and budgeting; or to develop procedures by which State and local agencies may be afforded new

<Note: definitions often, but do not always, appear in a section entitled "Definitions."

such sums may be appropriated as the Congress may authorize by law.

PROVISIONS OF ECONOMIC OPPORTUNITY AMENDMENTS OF 1969 WHICH RELATE TO BUT DO NOT AMEND THE ECONOMIC OPPORTUNITY ACT OF 1964

The following provisions of the Economic Opportunity Amendments of 1969 while relating to the conduct of programs under the Economic Opportunity Act of 1964, do not amend the Act as such and therefore are not included in the foregoing compilation of provisions of the Act, as amended.

AUTHORIZATION OF APPROPRIATIONS

authorization of funds

SEC. 102. (a) For the purpose of carrying out the Economic Opportunity Act of 1964, there are hereby authorized to be appropriated $2,195,500,000 for the fiscal year ending June 30, 1970, and $2,295,500,000 for the fiscal year ending June 30, 1971.

(b) Notwithstanding any other provision of law, unless expressly in limitation of the provisions of this section, of the amounts appropriated pursuant to subsection (a) of this section for the fiscal year ending June 30, 1970, and for the next fiscal year, the Director shall for each such fiscal year reserve and make available not less than $328,900,000 for the purpose of local initiative programs authorized under section 221 of the Economic Opportunity Act of 1964 and the remainder of such amounts shall be allocated, subject to the provisions of section 616 of such Act, in such a manner that of such remaining amounts so appropriated for each fiscal year—

(1) $890,300,000 shall be for the purpose of carrying out parts A and B of title I (relating to work and training programs);

(2) $46,000,000 shall be for the purpose of carrying out part D of title I (relating to special impact programs);

(3) $20,000,000 shall be for the purpose of carrying out part E of title I (relating to special work and career development programs);

(4) $811,300,000 shall be for the purpose of carrying out title II, of which $398,000,000 shall be for the Project Headstart program described in section 222(a)(1), $90,000,000 shall be for the Follow Through program described in section 222(a)(2), $58,000,000 shall be for the Legal Services program described in section 222(a)(3), $80,000,000 shall be for the Comprehensive Health Services program described in section 222(a)(4), $62,500,000 shall be for the Emergency Food and Medical Services program described in section 222(a)(5), $15,000,000 shall be for the Family Planning program described in section 222(a)(6), and $8,800,000 shall be for the Senior Opportunities and Services program described in section 222(a)(7);

(5) $12,000,000 shall be for the purpose of carrying out part A of title III (relating to rural loans);

(6) $34,000,000 shall be for the purpose of carrying out part B of title III (relating to assistance for migrant and seasonal farmworkers);

(7) $16,000,000 shall be for the purpose of carrying out title VI (relating to administration and coordination); and

(8) $37,000,000 shall be for the purpose of carrying out title VIII (relating to VISTA).

If the amounts appropriated pursuant to subsection (a) of this section for any fiscal year are not sufficient to allocate the full amounts specified for each of the purposes set forth in clauses (1) through (8) of this subsection, then the amounts specified in each such clause shall be prorated to determine the allocations required for each such purpose.

authorization of funds

(c) In addition to the amounts authorized to be appropriated pursuant to subsection (a) of this section, there are further authorized to be appropriated the following:

(1) $14,000,000 for the fiscal year ending June 30, 1971, to be used for the Special Impact programs described in part D of title I;

(2) $34,700,000 for the fiscal year ending June 30, 1971, to be used for the Special Work and Career Development programs described in part E of title I;

(3) $180,000,000 for the fiscal year ending June 30, 1971, to be used for the Project Headstart program described in section 222(a)(1);

(4) $32,000,000 for the fiscal year ending June 30, 1971, to be used for the Legal Services program described in section 222(a)(3);

(5) $80,000,000 for the fiscal year ending June 30, 1971, to be used for the Comprehensive Health Services program described in section 222(a)(4);

(6) $112,500,000 for the fiscal year ending June 30, 1971, to be used for the Emergency Food and Medical Services program described in section 222(a)(5);

(7) $15,000,000 for the fiscal year ending June 30, 1971, to be used for the Family Planning program described in section 222(a)(6);

(8) $3,200,000 for the fiscal year ending June 30, 1971, to be used for the Senior Opportunities and Services program described in section 222(a)(7);

(9) $15,000,000 for the fiscal year ending June 30, 1971, to be used for the program of assistance for migrant and seasonal farmworkers described in part B of title III; and

(10) $50,000,000 for the fiscal year ending June 30, 1971, to be used for Day Care projects described in part B of title V.

USE OF CLOSED JOB CORPS CENTERS FOR SPECIAL YOUTH PROGRAMS

SEC. 118. (a) Notwithstanding any other provision of law, the Director of the Office of Economic Opportunity shall establish pro- 42 USC 2704

CBA 2 - Unit a

Dedham Conf

Seminar on Education for Culturally Different Youth

Cooperative Research Project No. G-02

Education of the Deprived and Segregated

BANK STREET COLLEGE OF EDUCATION

Introduction

The following report describes the major findings, issues, strategies, and proposals for specific programs that emerged in a seminar on the education of deprived and segregated children and youth held at Dedham, Massachusetts, September 3-15, 1963. The seminar was organized to search for new ways to educate children who, because of segregation, poverty, or both, are failing to gain an adequate education.

The seminar was held under the auspices of the Bank Street College of Education and was underwritten by the U. S. Office of Education, Office of Juvenile Delinquency and Youth Development, and National Institute of Mental Health. Help with planning came from the Panel on Educational Research and Development, a government advisory unit that reports to the U. S. Commissioner of Education, the Director of the National Science Foundation, and the Special Assistant to the President for Science and Technology.

Joint chairmen of the seminar were John H. Niemeyer, President, Bank Street College of Education, and Jerrold R. Zacharias, Professor of Physics, Massachusetts Institute of Technology, and Chairman of the Panel on Educational Research and Development. The chairmen had the assistance of a steering committee of five: Ralph Ellison, Morris Janowitz, Marcus Raskin, David Street, and Joseph Turner. Endicott House, Dedham, Massachusetts, a conference center owned by M.I.T., was used for seminar sessions and provided accommodations for the majority of participants.

The conference was interracial and interdisciplinary, including educators, physicists, sociologists, writers, psychiatrists, politicians, and numerous others. The structure and design of the conference were planned to stimulate thought on the problem among persons from a broad variety of backgrounds in American life.

This report summarizes the deliberations of the seminar and its working groups and describes some of its conclusions. It incorporates a section of pertinent statistics compiled for the participants and a transcript of an address by Ralph Ellison, "What These Children Are

Like." Mr. Ellison's remarks were a healthy antidote to the stereotyping and oversimplification so often implied in the term "cultural deprivation."

It should not be assumed that the conclusions drawn in this report represent a unanimity of viewpoint among the participants. Any conference dealing with such a difficult problem and with such a heterogeneity of representation is bound to generate an extremely broad range of viewpoints and, to some degree, disagreement and dispute. This seminar was no exception. On a number of issues there was no consensus, although there was overlapping of clusters of viewpoints. In this report we shall try to indicate not only the major issues of disagreement, but also the prominent areas of agreement. In retrospect, there were many.

Summary Report of the Seminar

DAVID STREET
Assistant Professor of Sociology
The University of Chicago

ANALYSIS OF THE PROBLEM

The seminar was committed to considering what things education might do for those children and youth who, because of deprivation and segregation, are not getting the kind of education that will prepare them to become effective adults in our changing world. The group sought to identify promising ways to attack the problems of "the difficult 30 per cent," as these children were called throughout the sessions.

BASIC ASSUMPTIONS

Several significant assumptions were involved in the planning and conduct of the seminar.

1. Despite rising standards of American education, the problem of national educational failure—whether measured through dropouts, grade retardation, evaluations of levels of literacy, unemployment of youth, or any one of a number of other indices—is becoming increasingly apparent. Parallel to the problem of the continuance of poverty in a generally affluent society is this problem of the continuance of inadequate education in an educationally upgraded nation.

2. The problem is becoming more acute because of changes in the larger society, particularly in the skill requirements for employment, which make it increasingly likely that those who fail to receive an adequate education will fail occupationally and in many other ways.

3. The problem is widespread, but it also is concentrated in certain groups and locations. Educational failure is interlaced with other social problems, such as poverty, racial discrimination, and political inequality. It is particularly acute in "pockets of poverty," among the mountain people; among the residents of the rural South, white and Negro; and among those urban groups least far along the road to adaptation to urban life, such as the Negroes and Puerto Ricans who have recently migrated to the cities. It is most dramatically apparent in the big city slums.

4. Something *can* be done. Numerous small-scale experiments—many of them reported on in the seminar—indicate that effective action *can* be taken to increase educational success with the deprived and segregated. The aim of the seminar, therefore, should be to discover and identify the most appropriate measures of action and to conceive of them on a scale great enough to address the full extent and character of the problem. Funds and entrepreneurship are needed, and that is where the federal government can be of assistance.

5. Recent years have seen a flowering of national attention and interdisciplinary cooperation in upgrading the quality of instruction in physical science and mathematics. This effort has tended to benefit the fortunate 70 per cent and to have little impact on the difficult 30 per cent. It is time to turn the attention of persons involved in curriculum reform in science and mathematics, along with persons from the social sciences and other disciplinary, professional, or organizational spheres, to the problems of the children with whom education is making little progress.

DIAGNOSES OF THE PROBLEM

The problem of educational failure that results from deprivation and segregation is complex. Much energy at the seminar went into the effort to diagnose the problem—to identify its major sources and to understand their dynamics—as a first step toward planning action. Four highly interrelated sources emerged as perhaps most important.

1. The quality of family and community life. For reasons of poverty, bad living conditions, uprootedness, racial discrimination, broken homes, and a variety of other causes, many of the children of the difficult 30 per cent come from an environment that does not adequately prepare them—in language skills, motivation, self-respect, and values—for the standards of the conventional school. For many slum children, the life of the streets is more compelling than the life in the typical school room, and the moral climate of what some characterize as a corrupt society may teach the child more than the school does. At the extreme, the community and home may leave the child not only socially disabled but also psychologically damaged.

2. Social class, racial, and ethnic patterns. Because of their position in the society, lower-class children, and the children of the nonwhite lower classes in particular, are disadvantaged in a number of ways. Poverty begets poverty. The children tend to be discriminated against, stereotyped, counselled "down," and perhaps "loved but not taught."

Also, lower-class culture collides with the expectations of the school, and in terms of what the school expects, these children are "culturally deprived."

3. The technological-economic factor. As a result of technological and economic changes, occupational skill requirements are being upgraded dramatically, while the demand for labor is failing to keep pace with the expansion of the economy and population. The result is an increase in the unemployment of youth, which is extreme among those who are unskilled. Among the consequences of the latter development are the high concentration of unemployment among selected groups in the society and a loss of motivation for school work in those students whose future in the labor force is bleak. It is obvious that the educational system alone cannot solve this problem, but it is also clear that the schools have not kept pace with the changes in technology and the economy. At present, vocational education generally does not provide adequate training for participation in the rapidly changing labor force.

4. The capacity of the schools for creative change. For a variety of reasons, the schools are deficient in their capacity to meet the problems of deprived and segregated children and youth in creative ways. The following are important among these reasons.

a. A shortage and inflexibility in the use of resources, which limit many school systems in providing adequate remedial and counselling services, sufficiently decreasing or varying class size, instituting new programs, or taking other needed actions.

b. The general tendency toward traditionalism and inflexibility in school system operations. In the big cities, administrative organization and bureaucratic control often limit the possibilities for creative innovation. In all systems there is a tendency to rely on traditional practices; for example, the recruitment criteria for school personnel are defined narrowly, usually so that professional educators are the only adults allowed inside the classroom, and teachers spend almost all of their in-school time teaching, with little time for planning, contacts with colleagues, or in-service training.

c. Curricula and teaching often are inadequate. Teaching tends to be formally academic and restricted by rigid concepts of graded materials and course work, and teachers often spend their time "presenting material" rather than stimulating the development of inquiry, initiative, interest, courage, and industry among the students. Textbooks and other curricular materials frequently fail to capture the imagination of the students, many of whom simply find school a bore.

d. The school is especially inadequate in adjusting to lower-class children. The expectations of the school are middle class, involving the application of tried-and-true teaching techniques to "normal" children. Because the difficult 30 per cent are not normal in terms of the school's expectations, the result is often simply to lower standards and to assume that the school can produce only poorly with such poor students. The lower-class child may have verbal virtuosity in the language of his own culture and may have high imagination, creativity, spontaneity, and aggressiveness, but there is little opportunity for him to use these attributes in the school. When the gap between cultures is not bridged, the child often fails to have any substantial success in school as a basis for the development of attitudes of trust and self-respect.

e. The school's relationship to the community often is inadequate. Frequently there is weak coordination between the school system and those community agencies that also are involved with the child and family. Further, the school often is unable to communicate effectively to parents and help educate them in ways to make the total environment of the child more supportive of the goals of education.

STRATEGIES FOR ACTION

The seminar members were agreed that the problem of educational failure with deprived and segregated children and youth is severe and that strong and immediate remedial actions are necessary. Creative solutions will require coordinated action on many fronts because: first, adequate efforts at educational change simply are beyond the fiscal and administrative capacities of many of the local school systems; and second, many of these changes must involve not only the schools but also governmental, business, labor, foundation, university, and community groups if they are to succeed. A broad variety of strategies, involving different aspects of the problem and different agencies for action, is appropriate. Many of these strategies would involve federal action as a prime stimulant, for only the federal government seems to have both the financial and political resources needed to take the large-scale action required.

EDUCATIONAL DISASTER AREAS

A key element in formulating strategies is the assumption that the federal government and other political units must recognize educational failure as a problem of social policy of grave national proportions. The government should provide aid to what might appropriately be called "educational disaster areas." In the same way that the federal government recognizes that certain parts of the country have economic problems beyond local or state capacity for remedying, it would acknowledge the need for action in areas of high educational failure, the inner city slums, the rural South, and elsewhere where failure is evident and the need great. This view is embodied in a position paper on social policy approved by the seminar as a whole:[*]

> This seminar goes on record as recognizing the existence of educational disaster areas of such magnitude and intensity as to constitute one of the most grave emergencies confronting the nation. In these disaster areas, poverty, often accompanied by segregation, has produced large numbers of functional illiterates, and it continues to do so in great numbers.
>
> We are convinced that literacy is the key to educational success. We also are convinced that failure to attain this skill predicts failure in school, unemployment, dependency, and crime. At present, our only national knowledge of literacy depends on necessarily inaccurate inferences from data on students by grade level, and on the belated and presently alarming results of tests given to military draftees.
>
> The conference believes it vital that policy makers and public alike be alerted to the facts about illiteracy and its consequences in personal tragedy and economic waste. We must be prepared to give the same priority to using the nation's wealth for educationally underdeveloped areas at home as we do abroad. It is a high crime against the nation's youth and the nation itself that we have not seen ourselves as able to afford to educate our underprivileged youth up to presently feasible levels of success.
>
> The conference is of the opinion that on the basis of suitable criteria, including a standard test of literacy achievement, educational disaster areas should be designated. Federal funds sufficient to achieve presently attainable national educational standards should be made available to school systems in these areas. There is sufficient knowledge at present of the educational effects of such factors as teacher competence, class size, the availability of teaching materials, programs of student incentives for further education, and school-community programs for us to act. With existing knowledge,

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[*] This paper was approved unanimously at the final session of the seminar. Unfortunately, a number of participants were unable to remain for this session, and consequently it cannot be assumed that each person listed as a participant would subscribe to the position taken by the paper. Also, some individuals who voted approval of the paper as a whole were not in favor of various specific statements but felt that their objections to specifics were less important than their support of the central point of view that the paper expressed.

national resources can be used more effectively to remove this educational blight from our population.

The evidence presented in this seminar strongly indicates that the immediate preschool years, kindergarten, and grades one and two are critical for the attainment of reading skills that are basic to educational success. This finding indicates that for many children these years are a disaster period. As a consequence, in addition to directing resources to educational disaster areas, we need to redirect educational resources to the disaster period—the early grades—in education. There is a need for heavy emphasis on these years in education. In addition, substantial research and development efforts should be funded in dealing with the educational problems of the primary years, and in particular for problems of success or failure in reading.

Yet we would fall short of our obligations to the youth of the nation if we aimed merely for the control of disaster. The plans we have outlined above should bring to an end the failure of the schools to perform their minimum function. We know how to improve such failing schools. But their very failure provides us with a challenge to attempt to bypass many of the defects of the typical American public school. In rebuilding from disaster, bold revisions of method and organization and daring innovations of content and of attitude are possible. We need educational experiment, both research and development in action, of many kinds. For instance, we need schools in the city whose ties with community and parents are far closer and richer than the monthly meetings of the Parent-Teacher Association, where third-graders can grasp experiments in microbiology, where seventh-graders can write, set, and perform real theater, and where high school students can learn Russian if they will. We can afford such schools. Indeed, before too many years we will be unable to afford anything less. We must move forward to revised notions of the school, and most of the work of the seminar details the investigations and trials we ought to embark upon.

Such laboratories of excellence in schools ought not to be diffuse, nor should they be concentrated where the problems are simple. Our nation should, in order to manifest its dedication to this task, select an area where problems are presently most intense. In this area it should make a showcase of its schools. There are many reasons why *the nation's capital* should constitute such a showcase, but whatever the area, the effort should be massive and concentrated where the problems are greatest.

WORKING GROUP APPROACHES

The above statement on social policy indicates one area in which the seminar, in the time available, was able to develop general agree-

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ment. Most of the plenary sessions were devoted to hearing expert diagnoses of the problems of educating the difficult 30 per cent and to discussing reports of various innovative programs or experiments. The major work of hammering out specific strategies and programs for action took place in working groups created among the seminar participants. These groups dealt with eight areas of potential action that had emerged as most promising in the first few days of meetings and were reported back to the seminar as a whole at the end. Excerpts from these reports begin on page 24. The groups were as follows:

1. Curriculum reform. This group considered ways to apply new developments in curriculum to the schools attended primarily by the difficult 30 per cent and to stimulate experimentation and sweeping reform, liberating intellectual and artistic achievement, through revisions of curricula, materials, and teaching in these schools.

2. Literacy. Members of this group considered literacy, literacy tests, and ways of raising levels of literacy nationally.

3. Model schools. This working group was concerned with what model schools for deprived and segregated children might be like, what functions they could serve in promoting educational change generally, and how they could be developed.

4. Early childhood education. The initial deliberations of this group were concerned with establishing guide lines for preschool programs that would operate in areas with large numbers of deprived and segregated children. Later, the group broadened its purview to include education of children ages six to nine and developed notions of early childhood centers.

5. Teacher education. This group considered the desirable attributes of the teacher of the difficult 30 per cent and ways to train teachers to acquire such attributes.

6. School, community, and society. This group devised plans for projects aimed at mobilizing the community to help accomplish the goals of education.

7. Strategies for organizational and administrative change. Members of this group attempted to lay out a prototypic comprehensive strategy for massive change in the educational systems that serve the difficult 30 per cent.

8. Youth work and youth education. This working group took a broad look at the premises and patterns of work and of education for work in the "new society" and developed a large number of proposals for reform.

MAJOR STRATEGIES

The working groups devised a variety of approaches and special programs, varying in content, emphasis, and modes of implementation. These contain a number of common elements, such as a recurrent stress on the inclusion, in whatever projects are implemented, of research and development activities concerned with the question of how to make the process of change continuous and self-generating, and an emphasis on making certain that experimentation in the schools serving the difficult 30 per cent is included in any general educational projects that are developed. There was also an emergence of a significant number of major themes that were shared in the thinking of many clusters of participants. These themes or strategies are listed below.

1. Fostering cooperation between school systems and colleges, universities, or other groups. Colleges and universities should come to the aid of the schools that serve the difficult 30 per cent, and the schools should encourage them to help. The colleges should provide consultants from many disciplines, developing educational extension services and providing task force aid in curriculum reform. Specifically, they might develop cooperative programs of instructional reform in the South, provide high-level instruction in short courses in mathematics and physical sciences to graduates of Negro colleges (which are weak in these fields) or cooperate in running demonstration centers nationally. The colleges themselves should run model and experimental schools in urban and rural slums, and they should provide teacher training and internship experience in schools for the difficult 30 per cent. Further, they should develop programs for training specialists in in-service education of teachers and middle-level and high-level administrators, orienting them to the schools for the difficult 30 per cent. Not only school systems and colleges but also business, labor, government, and other units must cooperate in restructuring education for the world of work. Finally, procedures for facilitating cooperation between schools and other child-related agencies should be discovered and implemented.

2. Developing and disseminating improved teaching techniques, curricula, and materials. Through new efforts in pre-service and in-service teacher training, demonstration projects, improved use of new and old media, and other means, ways must be found to develop and disseminate information about promising teaching techniques. These techniques might range from linguistic and other new approaches in teaching reading to a variety of innovative teaching formats, including nongrading and team-teaching. The aim would be to foster teaching

that is nonbookish, intuitive, sensitive, warm, flexible, imaginative, and responsive to the child. Curricula and materials should be revised through mobilization of experts from the academic disciplines, cooperative ventures between universities and school systems, research, introduction of curriculum specialists, inclusion of the difficult 30 per cent in ongoing curriculum projects, and other techniques. Efforts to improve the teaching of reading should avoid overconcentration on the new technical systems (not only phonics and look-and-say, but also phonovisual, programmed instruction, initial teaching alphabet, sounds by colors, and so on) that currently are flourishing. Experimentation with such systems is important, but attention must also be given to integrating the teaching of reading with improvements in other classroom experiences of the child. Deprived and segregated children often come to school with little concept of the *uses* of literacy. Reading should not be conceived of as something to be mastered only through basal readers and *before* other learning can take place. Instead, learning to read should be accompanied by, and come partially through, learning about science, social studies, literature, and other areas, learning that will provide an intrinsic motive for gaining literacy skills.

3. Stressing the early years. Special attention should be devoted to the preschool and primary school years. Deprived and segregated children often come from environments that have not prepared them for the conventional expectations of the school and so must be given special help to become ready for school. Further, the initial school years must be adapted to their needs. Specifically, preschool and nongraded primary centers should be set up, developing flexible, well-staffed, and community-oriented programs.

4. Mobilizing resources. Standardized procedures should be found for assessing needs and allocating additional resources for individual schools that have large numbers of the difficult 30 per cent. School systems would receive funds for new or rehabilitated buildings, additional teachers, nonprofessional aides, and materials for these schools.

5. Creating model and laboratory schools and experimental school systems. All kinds of model schools (for example, public schools run by cooperating universities or colleges, demonstration centers, summer schools, schools devoted to innovation in vocational education, or prototypic experiments within whole school systems or significant segments of school systems) should be established. These experiments should be started in a great variety of settings and might use all types of formats, including those of the nongraded school, the boarding school,

the tutorial school, or even the school without a principal. As much as possible, these schools should have built-in dynamics of change and great diversity and flexibility in their educational program.

6. Upgrading teacher education. Training of teachers for the difficult 30 per cent should be upgraded through a variety of techniques. These include greater use of films and display and demonstration centers, the development of training programs that give the trainee more experience with children before the period of student teaching, the creation of courses that deal with new curriculum materials, the development of a national program of summer training for teachers, and experimentation with beginning the recruitment and training of teachers while they are still in high school. Other promising techniques include providing for internships in schools and preschool study centers, giving school systems resources to release teachers from classroom duties for in-service training, and providing physical science and mathematics training, particularly for faculties of southern colleges.

7. Improving school-community relations. Most new programs of all kinds should contain, as a major element, heightened cooperation with, mobilization of, and service to the community. Community residents—adults, dropouts, high school students, and even grade school pupils—should be recruited into the educational task, as amateur volunteers, as paid teachers' aides, or in other roles. Such programs as the proposed preschool and primary grade centers, or enlarged work-study education projects should be run under a variety of auspices involving the community. Further, specific programs using school-community agents should be initiated, along with attempts to make the schools more congenial to the parents and to establish more effective communication with them. Finally, schools should become more highly involved in cooperative efforts with other agencies that deal with children and youth, including libraries, welfare and health agencies, the police, groups that operate study centers, agencies administering the proposed national youth corps, and the military.

8. Changing the social organization of the school and the school system. The school's capacity for creative change to meet the problems of the difficult 30 per cent must be enlarged. Ways to do this include: redefining roles and recruitment criteria for staff; training and using greater numbers of specialists, volunteers, and paid subprofessionals; raising teacher incentives by increasing specialization; providing teacher resource rooms and freeing teacher energies by turning over simple tasks to aides; upgrading specialization in curriculum construction and planning; providing improved planning and research

and development operations in the schools; upgrading training of administrative personnel; making the schools more accessible to the community and redefining boundaries to diminish student travel; and facilitating flexibility and experimentation through such techniques as operating model schools, having open-ended hours for attendance in preschool centers, and abolishing rigidities in vocational education requirements.

9. Revolutionizing education for work. Education must be upgraded radically if it is to provide adequately for the education of the difficult 30 per cent for the changing world of work. Promising steps include: the elimination of present rigidities; the establishment of skill centers; the more flexible teaching of a wide range of vocational and technical skills to both youth and adults; the improvement and enlargement of work-study and guidance programs; the development of training for new kinds of work; the establishment of university-run experimental and demonstration vocational schools in urban and rural slums and racially integrated regional technical schools in the South; and the development of a program to give financial support to dropouts who return to school. Changes in education for work will have to be accompanied by major programs for providing work for youth.

QUESTIONS AT ISSUE

The major strategies just discussed, coupled with the specific reasoning and proposals embodied in the reports of the working groups, constitute a broad basis for action. In general, the seminar was agreed that all of these strategies are worth implementation or, at the least, experimentation. Disagreement—and there was a considerable amount of it—centered around various issues of emphasis or priority. Probably no two participants would analyze the bases for disagreement, or even what the disagreements were, in the same way. However, the following analysis can be advanced by this participant:

The major disagreement on emphasis in the seminar was one that came to be identified with two main blocs represented at the conference, the physical scientists and mathematicians on the one hand and the social scientists on the other. With exceptions, the physical science group tended to stress the need for radical change in the content of the schools, particularly through thoroughgoing reform of curricular materials of every kind and at every level. Such change implies steps of small-scale experimentation and the creation of model schools. Again with exceptions, the social science group tended to stress the need for immediate federal aid and large-scale social action and experimentation on the basis of present, even if incomplete, knowledge. Whereas the physical science group tended to see itself as holding higher long-run aspirations, viewing the social scientists as settling for spreading "smug suburban standards" to all schools, the latter group saw its opponents as educational romantics, ignoring the harsh realities of pressing needs and inequities requiring broad administrative and fiscal changes.

In part, this disagreement may have reflected differences in the view taken of the root of the problem and the point of entry to its solution. The natural scientists tended to assign the greatest weight to deficiencies in the student's experiences of the classroom, whereas the social scientists tended to put more stress on the social patterns of the community and on the bureaucratic or "structural" elements of the school system. The difference in views also reflected divergent views of how the behavior of teachers toward the difficult 30 per cent might best be changed: whether summer conferences, redesign of materials, and other techniques that have been successful in upgrading physical science and mathematics teaching would be effective with this problem or whether efforts to produce change must be focused on the principal, the structure of the school and school system, and the relationships of school and community. Disagreement was heightened by differences in the interpretation of the Negro revolution in American society--not of the importance of this revolution but of its immediate relevance to the educational problem under discussion. The conference undoubtedly was much affected by the fact that it began the week after the march on Washington. To some of the participants, including many in both blocs, the seminar was morally obligated to stress only such programs as would specifically and strongly promote the welfare of Negroes in our society.

Another continuing difference of opinion was over the strategy of emphasizing early education by establishing preschool centers for deprived and segregated children. Many participants placed great emphasis on programs of preschool education. Others demurred, believing that, although preschool programs might be beneficial, they threaten to divert resources from the immediate need to effect change in programs for the established school years.

In addition, there were continuing disagreements over such persistent questions as: the limits to the school's growing role as a social welfare agency; the potential political implications of social studies instruction; the possible dangers in heightened cooperation between the school and such agencies as the police and the military; the relative priority of racial integration in the schools; the dilemma of whether to concentrate on helping the academically talented or on the general population of students; and the extent to which the school should be monolithic and "middle class" rather than pluralistic, adjusting to the various cultures of its students.

Finally, a major concern throughout the conference was the question of whether or not the strategies devised would and could in fact be implemented in view of the dependence of many of the proposals upon political action. Several participants questioned whether current means for communicating to the executive branch of the federal government are adequate, and it was recommended by the working group on Youth Work and Youth Education that a Social Science and Social Policy Committee, parallel to the President's Science Advisory Council, be set up to advise the President. Some members of the conference, of course, also doubted that the strategies devised in the seminar, even if implemented, would push the education of the difficult 30 per cent over the threshold. Over-all, however, the seminar was agreed that serious attempts to use these strategies are imperative and probably likely of success.

How Our Laws Are Made

FOREWORD

By Hon. Peter W. Rodino, Jr., Member of Congress

The framers of the United States Constitution, with unparalleled foresight, embodied in our system of Government the principle of "separation of powers," by establishing three equal and independent branches of Government—the Legislative, Executive, and Judicial.

The very first provision of the Constitution of the United States (Article I, Section 1) creates the Legislative Branch by providing that "All legislative Powers herein created shall be vested in a Congress of the United States, which shall consist of a Senate and House of Representatives."

The Federal legislative process, which has developed as a result of this constitutional mandate, is extremely complex. Therefore, it is necessary for the American people to have access to documents and materials which will enable them to achieve a greater understanding and appreciation of this legislative process.

This need was recognized over twenty years ago by the late Dr. Charles J. Zinn, then Law Revision Counsel for the Committee on the Judiciary, when the first printing of "How Our Laws Are Made" was authorized in 1953.

Since that time this House Document has been widely distributed not only in the United States, but around the world. In addition, it has been translated and published in eight different languages and is frequently used as a model for similar governmental publications in many foreign countries. The pamphlet furthermore continues to be a valuable source material for classroom study and discussion throughout the United States.

Today, as much as anytime in our American history, the process of our American government is extremely important to all of us. The better we understand our government the better we can serve it and the better our government can serve us.

This edition was revised and updated by the Law Revision Counsel for the Committee to reflect changes in the legislative procedure brought about by legislation and changes in the rules of the House of Representatives since the last edition.

It is my sincere hope that this pamphlet will be helpful and informative to all persons interested in how our laws are made.

Peter W Rodino

Chairman, Committee on the Judiciary.

HOW OUR LAWS ARE MADE

I. INTRODUCTION

This handbook is intended to provide a readable and nontechnical outline of the background and the numerous steps of our Federal lawmaking process from the origin of an idea for a legislative proposal through its publication as a statute. This is a matter about which the average citizen should be well informed so that he may be able to understand the everyday news reports and discussions concerning the work of the Congress.

The Federal legislative process is ordinarily a lengthy and somewhat complex one that is often the butt of ridicule by the uninformed and by those who seek to undermine our Constitutional way of life. On the one hand, complaints are heard about "the law's delays" both with regard to the administration of justice by our courts and the enactment of laws by the Congress. On the other hand, it is not uncommon for the same individuals to charge that a particular bill has been "steamrollered" through the Congress. Manifestly, no system of enacting laws to govern more than 210 million persons can be perfect in all its details with respect to every single piece of legislation. However, by and large, neither of these complaints is justified and, discounting the sly but vicious attacks by hostile persons or groups that often make dupes of otherwise well-intentioned persons, the invective against our deliberative lawmaking procedure is quite likely to stem from a fundamental lack of information and understanding regarding that procedure.

Rather than being an object of petty criticism, the Federal legislative process should be recognized as one of the bulwarks of our representative system and deserves the fullest support and understanding.

One of the most practical safeguards of the American democratic way of life is that process which, with its jealous care for the protection of minorities, gives ample opportunity to all sides to be heard and make their views known. The fact that a proposal cannot become a law without consideration and approval by both Houses of the Congress is an outstanding virtue rather than a defect of the Congressional system. Open and full discussions provided for under our Constitution frequently results in the notable improvement of a bill by amendment before it becomes law, or the complete defeat of a bad proposal.

Inasmuch as the large majority of laws originate in the House of Representatives this discussion will be directed principally to the procedure in that body.

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III. SOURCES OF LEGISLATION

Sources of ideas for legislation are unlimited, and proposed drafts of bills originate in many diverse quarters. First of these is, of course the idea and draft conceived by a Member himself. This may emanate from his election campaign during which he had promised to introduce legislation on a particular subject, if elected. His entire campaign may have been based upon one or more such proposals. Or, through his experience after taking office he may have become aware of the need for amendment or repeal of existing laws or the enactment of a statute in an entirely new field.

In addition, his constituents—either as individuals or by corporate activity such as bar associations, labor unions, manufacturers' associations, and chambers of commerce—may avail themselves of the right to petition, which is guaranteed by the First Amendment to the Constitution, and transmit their proposals to him. Many excellent laws have originated in this way since some of those organizations, because of their vital concern with various areas of legislation, have considerable knowledge regarding the laws affecting their interests and have the services of expert legislative draftsmen at their disposal for this purpose. If the Member is favorably impressed by the idea he may introduce the proposal in the form in which it has been submitted to him or he may first redraft it. In all events he may consult with the legislative counsel to frame the ideas in suitable legislative language and form for introduction.

In modern times the "executive communication" has become a prolific source of legislative proposals. This is usually in the form of a letter from a member of the President's Cabinet or the head of an independent agency—or even from the President himself—transmitting a draft of a proposed bill to the Speaker of the House of Representatives and the President of the Senate. Despite the system of separation of powers, section 3 of article II of the Constitution imposes an obligation on the President to report to the Congress from time to time on the state of the Union and to recommend for consideration such measures as he deems necessary and expedient. Many of these executive communications follow upon the President's message on the state of the Union delivered to the Congress in accordance with the mandate set out in section 3 of article II of the Constitution. The communication is then referred to the standing committee having jurisdiction of the subject matter embraced in the proposal since a bill may be introduced only by a Member of Congress. The chairman of that committee usually introduces the bill promptly either in the form in which it was received or with such changes as he deems necessary or desirable. This practice prevails even when the majority of the House and the President are not of the same political party, although there is no constitutional or statutory requirement that a bill be introduced to effectuate the recommendations. Otherwise, the message

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may be considered by the committee or one of its subcommittees to determine whether a bill should be introduced. The most important of the regular executive communications is the annual message from the President transmitting the proposed budget to the Congress. This, together with testimony by officials of the various branches of the Government before the Appropriations Committees of the House and Senate, is the basis of the several appropriation bills that are drafted by the House Committee on Appropriations.

Several of the executive departments and independent agencies have staffs of trained legislative counsel whose functions include the drafting of bills to be forwarded to the Congress with a request for their enactment.

The drafting of statutes is an art that requires great skill, knowledge, and experience. In some instances a draft is the result of a study covering a period of a year or more by a commission or committee designated by the President or one of his Cabinet officers. The Administrative Procedure Act and the Uniform Code of Military Justice are only two of many examples of enactments resulting from such studies. In addition, Congressional committees sometimes draft bills after studies and hearings covering periods of a year or more. Bills to codify the laws relating to crimes and criminal procedure, the judiciary and judicial procedure, the Armed Forces, and other subjects, have each required several years of preparation.

more than 21,000

IV. FORMS OF CONGRESSIONAL ACTION

The work of the Congress is initiated by the introduction of a proposal in one of four principal forms. These are: the bill, the joint resolution, the concurrent resolution, and the simple resolution. By far the most customary form used in both Houses is the bill. During the 92d Congress (1971–1972), there were introduced in both Houses, more than 21,000 bills and less than 1,700 joint resolutions. Of this number 17,230 bills and 1,331 joint resolutions originated in the House of Representatives.

For the sake of simplicity this discussion will be confined generally to the procedure on a House of Representatives bill, but a brief comment will be made about each of the forms.

BILLS

A bill is the form used for most legislation, whether permanent or temporary, general or special, public or private.

The House of Representatives Manual prescribes the form of a House bill, as follows:

> **A BILL**
>
> **For the establishment, etc. [as the title may be].**
>
> ***Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled*, That, etc.**

The enacting clause was prescribed by law in 1871 and is identical in all bills, whether they originate in the House of Representatives or in the Senate.

Bills may originate in either the House of Representatives or the Senate, with one notable exception provided for by the Constitution. Article I, section 7, of the Constitution, provides that all bills for raising revenue shall originate in the House of Representatives but the Senate may propose or concur with amendments, as on other bills. General appropriation bills also originate in the House of Representatives.

Article I, section 8, prescribes the matters concerning which the Congress may legislate, while section 9 of the same article places certain limitations upon Congressional action.

A bill originating in the House of Representatives is designated by the letters "H.R." followed by a number which it retains throughout all its parliamentary stages. The letters, of course, signify "House of Representatives" and not, as is sometimes supposed "House resolution." A Senate bill is designated by the letter "S." followed by its number.

A bill becomes the law of the land only after—

(1) Presidential approval; or

(2) failure by the President to return it with his objections to the House in which it originated within 10 days while the Congress is in session; (See Fig. 11, p. 69) or

(3) the overriding of a Presidential veto by a two-thirds vote in each House. (See Fig. 12, p. 70.)

It does not become law without the President's signature if the Congress by their adjournment prevent its return with his objections. This is known as a "pocket veto."

JOINT RESOLUTIONS

Joint resolutions may originate either in the House of Representatives or in the Senate—not, as may be supposed, jointly in both Houses. There is little practical difference between a bill and a joint resolution and, although the latter are not as numerous as bills, the two forms are often used indiscriminately. Statutes that have been initiated as bills have later been amended by a joint resolution, and vice versa. Both are subject to the same procedure—with the exception of joint resolutions proposing an amendment to the Constitution which must be approved by two-thirds of both Houses and are thereupon sent directly to the Administrator of General Services for submission to the several States for ratification, and which are not presented to the President for his approval.

The form of a House joint resolution is prescribed by the House of Representatives Manual, as follows:

> JOINT RESOLUTION
>
> Authorizing, etc. [as the title may be].
>
> *Resolved by the Senate and House of Representatives of the United States of America in Congress assembled*, That all, etc.

The resolving clause is identical in both House and Senate joint resolutions, having been prescribed by statute in 1871. It is frequently preceded by one or more "whereas" clauses indicating the necessity for or the desirability of the joint resolution.

The term "joint" does not signify simultaneous introduction and consideration in both Houses.

A joint resolution originating in the House of Represetatives is designated "H.J. Res." followed by its individual number which it retains throughout all its parliamentary stages. One originating in the Senate is designated "S.J. Res." followed by its number.

Joint resolutions become law in the same manner as bills.

CONCURRENT RESOLUTIONS

Matters affecting the operations of both Houses are usually initiated by means of concurrent resolutions. These are not normally legislative in character but are used merely for expressing facts, principles, opinions, and purposes of the two Houses. They are not equivalent to a bill and their use is narrowly limited within these bounds.

The term "concurrent" does not signify simultaneous introduction and consideration in both Houses.

V. INTRODUCTION AND REFERENCE TO COMMITTEE

Any Member, the Resident Commissioner and the Delegates in the House of Representatives may introduce a bill ~~at any time~~ while the House is actually sitting by simply placing it in the "hopper" provided ~~for the~~ purpose at the side of ~~the Clerk's desk in the House~~ Chamber. He is not required to ask permission to introduce the measure or to make any statement at the time of introduction. Printed blank forms for use in typing the original bill ~~are~~ supplied through the stationery room. The name of the sponsor is endorsed upon it. and since April 1967, a public bill may be sponsored by up to 25 Members. To forestall the possibility that a bill might be introduced in the House without a Member's prior approval, the Speaker, on February 3, 1972, issued a directive requiring the Member's original signature to appear thereon before it is accepted for introduction. In the case where there are multiple sponsors of a bill, the signature must be that of the Member first named thereon. (See Congressional Record, Feb. 3, 1972, Vol. 118, Pt. 3, page 2521.) In the Senate unlimited multiple sponsorship of a bill is permitted. Occasionally a Member may insert the words "by request" after his name to indicate that the introduction of the measure is in compliance with the suggestion of some other person.

The procedure is somewhat more formal in the Senate as governed by the standing rules of ~~that body. At the~~ time reserved for the purpose, a Senator who wishes to introduce a measure rises and states that he offers a bill for introduction, and sends it by page to the Secretary's desk. If objection is ~~offered by any Senator the~~ introduction is postponed until the ~~next day.~~ If there is no objection the bill is read by title for the first and second reading. Frequently, Senators obtain consent to have the bill printed at that point in the body of the Congressional Record, following their formal statement.

In the House of Representatives it is no longer the custom to read bills—even by title—at the time of introduction. ~~The title is entered~~ in the Journal and printed in the Congressional Record, thus preserving the purpose of the old rule. The ~~bill is assigned its~~ legislative number by the Clerk and referred to the appropriate committee by the Speaker with the assistance of the Parliamentarian. These details appear in the daily issue of the Congressional Record. It is then sent to the Government Printing Office where it is printed ~~that same~~ night in its introduced form, and printed copies are available the next morning in the document rooms of both Houses. (See Fig. 1. p. 54.)

One copy ~~is sent to the office of the chairman of~~ the committee to which it has been referred, for action by that committee.

Perhaps the most important phase of the Congressional process is the action by committees. That is where the most intensive consideration is given to the proposed measures and where the people are given their opportunity to be heard. Nevertheless, this phase where such

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a tremendous volume of hard work is done by the Members is sometimes overlooked by the public, particularly when complaining about delays in enacting laws.

The Legislative Reorganization Acts of 1946, and 1970, the result of widespread proposals for "streamlining" the Congress, establish the existing committee structure of the House and Senate. Prior to the Reorganization Act of 1946 the House had 48 standing committees and there were 33 in the Senate which corresponded generally to those of the House. In addition there were a number of select or special committees, usually of an investigative character, that did not normally consider pending legislation. There are, at present, 22 standing committees in the House of Representatives and 17 in the Senate, as well as several select committees. In addition, there are several standing joint committees of the two Houses.

An important one created by the Legislative Reorganization Act of 1970, is the Joint Committee on Congressional Operations. This committee has the duty to:

> (1) make a continuing study of the organization and operation of the Congress of the United States; recommend improvements in such organization and operation with a view toward strengthening Congress, simplifying its operations, improving its relationships with other branches of the United States Government, and enabling it better to meet its responsibilities under the Constitution of the United States; and
>
> (2) identify any court proceeding or action which, in the opinion of the Joint Committee, is of vital interest to the Congress, or to either House of the Congress, as a constitutionally established institution of the Federal Government and call such proceeding or action to the attention of that House of the Congress which is specifically concerned or to both Houses of the Congress if both Houses are concerned.

The committee also has supervision and control over the operations of the Office of Placement and Office of Management, established for the Congress by the same Act. The committee is required to report, from time to time, to the Congress its recommendation with respect to matters within the jurisdiction of the committee.

The only joint committee that may report legislation is the Joint Committee on Atomic Energy, which reports identical bills to each House simultaneously.

Each committee has jurisdiction over certain subject matters of legislation and all measures affecting a particular area of the law are referred to that committee which has jurisdiction over it. For example, the Committee on the Judiciary has jurisdiction over measures relating to judicial proceedings, civil and criminal, generally, and 18 other categories, of which Constitutional amendments, revision and codification of statutes, civil liberties, antitrust, patents, copyrights and trademarks, are but a few. In all, the rules provide for more than 190 different classifications of measures which are to be referred to the respective committees in the House and more than 170 in the Senate. Membership on the various committees is divided between the two major political parties in proportion to their total membership in the House. Until 1953, with the exception of the Members serving on the Committee on the District of Columbia, the former Committees on Un-American Activities and on Expenditures in the Executive Departments, or the Committee on House Administration, a Member could not serve on more than one standing committee of the House. This limitation was removed in January 1953, and now all Members may serve on more than one committee. In January 1971, the majority party of the House determined in caucus that (1) the chairman of a full committee may not be the chairman of more than one subcommittee of that committee, (2) a Member may not be chairman of more than one legislative subcommittee, and (3) a Member may not serve on more than two committees having legislative jurisdiction. These limitations do not apply to committees performing housekeeping functions and joint committees.

A Member usually seeks election to that committee which has jurisdiction of a field in which he is most qualified and interested. For example, the Committee on the Judiciary is composed entirely of lawyers. Not a few Members are nationally recognized experts in the specialty of their particular committee or subcommittee.

Members rank in seniority in accordance with the order of their appointment to the committee, with the ranking majority Member being elected chairman. This aspect of the committee system has been the object of criticism but it insures the selection of a chairman with experience, for which there is no substitute, and a more practical and foolproof method has never been suggested. However, the majority party of the House, in caucus, has adopted resolutions which are designed to afford those Members, who oppose the seniority system, an opportunity to challenge the selection of a chairman on that basis alone.

Most of the committees have two or more subcommittees that in addition to having general jurisdiction, specialize in the consideration of particular classifications of bills.

Each committee is provided with a professional and clerical staff to assist it in the innumerable administrative details and other problems involved in the consideration of bills. The professional staff is appointed on a permanent basis without regard to political affiliations. The clerical staff is appointed by a majority vote of the committee and handles correspondence and stenographic work for the committee staff and the chairman and ranking minority Member on matters related to committee work. In recent years there has been a move to provide a minority staff for committees and a number of committees have obtained authority to engage one or more experts to be assigned to the minority Members.

The Legislative Reorganization Act of 1970 and the Rules of the House authorize two additional professional staff members for each standing committee and the minority may request as a matter of right the appointment of two professional and one clerical staff member, subject to final approval by the committee. These minority staff provisions do not apply to the Committee on Appropriations, because the minority Members of that committee have in the past been entitled to more than two employees, subject to committee decision, and to the

Committee on Standards of Official Conduct because of its bipartisan nature.

Under certain conditions a standing committee may appoint consultants on a temporary or intermittent basis and may also provide financial assistance to members of its professional staff for the purpose of acquiring specialized training, whenever the committee determines that such training will aid the committee in the discharge of its responsibilities.

VI. CONSIDERATION BY COMMITTEE

The chairman of the committee to which a bill has been referred may, on his own initiative, or at the request of the sponsor, refer the bill to a subcommittee for consideration. One of the first actions taken is the transmittal of copies of the bill to the departments or agencies concerned with the subject matter and frequently to the General Accounting Office with a request for an official report of views on the necessity or desirability of enacting the bill into law. Ample time is given for the submission of the reports and when received they are accorded serious consideration but are not binding upon the committee in determining whether or not to act favorably on the bill. The reports are submitted first to the Office of Management and Budget to determine whether the bill is consistent with the program of the President.

With the exception of the Committees on Appropriations, on Budget, on Government Operations, on Internal Security, on Rules, and on Standards of Official Conduct, committees may not, without special permission, meet while the House is reading a measure for amendment under the five-minute rule, but they may also be permitted to meet during a recess up to the expiration of the Constitutional term.

PUBLIC HEARINGS

If the bill is of sufficient importance, and particularly if it is controversial, the committee will usually set a date for public hearings. Each committee (except the Committee on Rules) is required to make public announcement of the date, place, and subject matter of any hearing to be conducted by the committee on any measure or matter at least one week before the commencement of that hearing, unless the committee determines that there is good cause to begin the hearing at an earlier date. If the committee makes that determination, it must make such public announcement at the earliest possible date. Public announcement is published in the Daily Digest portion of the Congressional Record as soon as possible after such public announcement is made by the committee, and is often noted in newspapers and periodicals. Personal notice, usually in the form of a letter, but possibly in the form of a subpena, is frequently sent to individuals, organizations, and Government departments and agencies that are known to be interested.

Committee and subcommittee hearings are required to be public except when the committee or subcommittee, in open session and with a quorum present, determines by roll call vote that all or part of the remainder of that hearing shall be closed to the public because disclosure of testimony, evidence, or other matters to be considered would endanger the national security or would violate a law or Rule of the House of Representatives.

Hearings on the budget are required to be held in open session within 30 days after its transmittal to Congress, except when the committee, in open session and with a quorum present, determines by roll call vote that the testimony to be taken at that hearing may be related to a matter of national security.

On the day set for the public hearing an official reporter is present to record the testimony in favor of and against the bill. Suitable accommodations are provided for the public and witnesses.

The bill may be read in full at the opening of the hearings and a copy is inserted in the record. After a brief introductory statement by the chairman and often by the ranking minority Member or other committee member, the first witness is called. Members or Senators who wish to be heard are given preference out of courtesy and because of the limitations on their time. Cabinet officers and high-ranking civil and military officials of the Government, as well as any private individual who is interested, may appear and testify either voluntarily or at the request or summons of the committee.

Committees require, so far as practicable, that witnesses who appear before it file with the committee, in advance of their appearance, a written statement of their proposed testimony and limit their oral presentations to a brief summary of their arguments.

Minority party members of the committee are entitled to call witnesses of their own to testify on a measure during at least one day of the hearing.

All committee rules in the House must provide for the application of the five-minute rule in the interrogation of witnesses until such time as each Member of the committee who so desires has had an opportunity to question a witness.

A typewritten transcript of the testimony taken at a public hearing is made available for inspection in the office of the clerk of the committee and frequently the complete transcript is printed and distributed widely by the committee.

BUSINESS MEETINGS

All meetings for the transaction of business, including the markup of legislation, of standing committees or subcommittees thereof must be open to the public except when the committee or subcommittee, in open session and with a quorum present, determines by roll call vote that all or part of the remainder of the meeting shall be closed to the public. However, no person other than members of the committee and such congressional staff and departmental representatives as they may authorize, may be present at any business or markup session which has been closed to the public. These provisions do not apply to open committee hearings, as well as hearings on the budget, or to any meeting that relates solely to internal budget or personnel matters.

After hearings are completed the subcommittee usually will consider the bill in an executive session that is popularly known as "the marking-up" session. The views of both sides are studied in detail and at the conclusion of deliberation a vote is taken to determine the action of the subcommittee. It may decide to report the bill favorably to the full committee, with or without amendment, or unfavorably, or suggest that it be "tabled." Each member of the subcommittee, regardless of party affiliation, has one vote.

VII. REPORTED BILLS

If the committee votes to report the bill favorably to the House one of the Members is designated to write the committee report. The report usually describes the purpose and scope of the bill and the reasons for its recommended approval. Frequently, a section-by-section analysis is set forth in detail explaining precisely what each section is intended to accomplish. Under the rules of the House all changes in existing law must be indicated and the text of laws being repealed must be set out. This is known as the "Ramseyer" rule; a similar rule in the Senate is known as the "Cordon" rule. Committee amendments must also be set out at the beginning of the report and explanations of them are included. Executive communications requesting the introduction and consideration of the bill are usually quoted in full.

If at the ~~time of approval of a~~ bill by a committee (except the Committee on Rules) a Member of the committee gives notice of his intention to file supplemental, minority, or additional views, that Member is entitled to not less than three calendar days (Saturdays, Sundays and legal holidays excluded) in which to file with the clerk of the committee those views and they must be included in the report on the bill. Committee reports, with certain exceptions, must be filed while the House is actually sitting unless unanimous consent is obtained from the House to file at a later time.

The report is assigned a report number when it is filed, and it is delivered to the Government Printing Office for printing during that night. Beginning with the 91st Congress, in 1969, the report number contains a prefix-designator which indicates the number of the Congress. For example, the first House report in 1969 was numbered 91–1.

The bill also is printed when reported (see Fig. 2, p. 56) and committee amendments are indicated by showing new matter in italics and deleted matter in stricken-through type. The report number is also printed on the bill and the calendar number is shown on both the first and back page of the bill and on the report. (See Fig. 3, p. 58.)

Committee reports are perhaps the most valuable single element of the legislative history of a law. They are used by the courts, executive departments and agencies, and the public generally, as a source of information regarding the purpose and meaning of the law.

FILING OF REPORTS

Reports of committees are required to be filed promptly but in any event, the report on a measure which has been approved by the committee must be filed within seven calendar days (exclusive of days on which the House is not in session) after the day on which there has been filed with the clerk of the committee a written request

XII. ENGROSSMENT AND MESSAGE TO SENATE

The preparation of a copy of the bill in the form in which it has passed the House is sometimes a detailed and complicated process because of the large number and complexity of amendments to some bills adopted by the House. Frequently these amendments are offered during a spirited debate with little or no prior formal preparation. The amendment may be for the purpose of inserting new language, substituting different words for those set out in the bill, or deleting portions of the bill. It is not unusual to have more than 100 such amendments, including those proposed by the committee at the time the bill is reported and those offered from the floor during the consideration of the bill in the chamber. Some of the amendments offered from the floor are written in longhand and others are typewritten. However, when an amendment is offered in the Committee of the Whole, the Clerk is required to furnish the majority and minority, tables, five copies each of the amendment and one copy each to the majority and minority cloakrooms. Each must be inserted in precisely the proper place in the bill, with the spelling and punctuation exactly the same as it was adopted by the House. Obviously, it is extremely important that the Senate receive a copy of the bill in the precise form in which it has passed the House. The preparation of such a copy is the function of the enrolling clerk.

There is an enrolling clerk in each House, constituting a division of the office of the Clerk of the House of Representatives and of the Secretary of the Senate. He receives all the papers relating to the bill, including the official Clerk's copy of the bill as reported by the standing committee and each amendment adopted by the House. From this material he prepares the engrossed copy of the bill as passed, containing all the amendments agreed to by the House. (See Fig. 4, p. 59.)

At this point the measure ceases technically to be called a bill and is termed "an act" signifying that it is the act of one body of the Congress, although it is still popularly referred to as a bill. The engrossed bill is printed on blue paper and a certificate that it passed the House of Representatives is signed by the Clerk of the House. The engrossed bill is delivered by a reading clerk to the Senate, while that body is actually sitting, in a rather formal ceremonious manner befitting the dignity of both Houses. The reading clerk is escorted into the chamber by the Secretary or another officer of the Senate and upon being recognized by the President of the Senate states that the House has passed the bill, giving its number and title, and requests the concurrence of the Senate.

XIV. FINAL ACTION ON AMENDED BILL

On their return to the House the official papers relating to the amended measure are placed upon the Speaker's table to await House action on the Senate amendments. If the amendments are of a minor or noncontroversial nature the Chairman of the committee that originally reported the bill—or any Member—may, at the direction of the committee, ask unanimous consent to take the bill with the amendments from the Speaker's table and agree to the Senate amendments. At this point the Clerk reads the title of the bill and the Senate amendments. If there is no objection the amendments are then declared to be agreed to, and the bill is ready to be enrolled for presentation to the President. Lacking such unanimous consent, bills that do not require consideration in the Committee of the Whole are privileged and may be called up from the Speaker's table by motion for immediate consideration of the amendments, a simple majority being necessary to carry the motion and thereby complete floor action on the measure. An amendment of the Senate to a House bill is subject to a point of order that it shall first be considered in the Committee of the Whole House on the State of the Union, if, originating in the House, it would be subject to that point.

REQUEST FOR A CONFERENCE

If, however, the amendments are substantial or controversial the Member may request unanimous consent to take the bill with the Senate amendments thereto from the Speaker's table, disagree to the amendments and request a conference with the Senate on the disagreeing votes of the two Houses. If there is objection it becomes necessary to obtain a special resolution from the Committee on Rules unless the Speaker, in his discretion, recognizes a Member for a motion, authorized by the committee having jurisdiction of the subject matter of the bill, to disagree to the amendments and ask for a conference. If there is no objection to the request or if the motion is carried, the Speaker thereupon appoints the managers (as the conferees are called) on the part of the House and a message is sent to the Senate advising it of the House action. The Speaker customarily, but not necessarily, follows the suggestions of the Chairman of the committee in charge of the bill in designating the managers on the part of the House from among the Members of the committee. The number, as fixed by the Speaker, is frequently three, consisting of two Members of the majority party and one of the minority, but may be greater on important bills. Representation of both major parties is an important attribute of all our parliamentary procedures but, in the case of conference committees, it is important that the views of the House on the House measure be fully represented.

XIII. SENATE ACTION

The President of the Senate refers the engrossed bill to the appropriate standing committee of the Senate in conformity with the rules. The bill is immediately reprinted and copies are made available in the document rooms of both Houses. (See Fig. 5, p. 60.) This printing is known as the "Act print" or the "Senate referred print."

COMMITTEE CONSIDERATION

Committees give the bill the same kind of detailed consideration as it received in the House, and may report it with or without amendment, or "table" it. A committee Member who wishes to express his individual views, or a group of Members who wish to file a minority report, may do so, if he or they give notice at the time of the approval of the measure, of his or their intention to file supplemental, minority or additional views, in which event those views may be filed within three days with the clerk of the committee and they become a part of the report.

Any Senator may enter a motion to discharge a committee from further consideration of a bill which it has failed to report after what is deemed to be a reasonable time. If the motion is agreed to by a majority vote, the committee is discharged and the bill is placed on the Calendar of Business under the standing rules. Upon being reported by the committee the bill is reprinted with committee amendments indicated by line-through type and italics. The calendar number and report number are indicated on the first and back page, together with the name of the Senator making the report. (See Fig. 6, p. 62.) The committee report and any minority or individual views accompanying the bill are also printed at the same time. (See Fig. 7, p. 64.)

Meetings for the transaction of business (other than hearings) of each standing committee of the Senate, must be open to the public except during closed sessions for marking up bills or for voting or when the committee by majority vote orders a closed session. However, such closed session may be open to the public if the committee by rule or by majority vote so determines.

All hearings conducted by a standing, select, or special committee of the Senate (except the Committee on Appropriations or on Budget) must be open to the public except when the committee determines that the testimony to be taken at that hearing may relate to a matter of national security, may tend to reflect adversely on the character or reputation of the witness or any other individual, or may divulge matters deemed confidential under other provisions of law or Government regulation.

CHAMBER PROCEDURE

The rules of procedure in the Senate differ to a large extent from those in the House. At the time that a bill is reported (and in the

If the Senate agrees to the request for a conference a similar committee is appointed by unanimous consent by the Presiding Officer of the Senate. Both political parties may be represented on the Senate conference committee also, but the Senate committee need not be the same size as the House committee.

The conference committee is sometimes popularly referred to as the "Third House of Congress."

The request for a conference can be made only by the body in possession of the papers. Occasionally the Senate, anticipating that the House will not concur in its amendments, votes to insist on its amendments and requests a conference upon passage of the bill without returning the bill to the House. This practice serves to expedite the matter because several days' time may be saved by the designation of the Senate conferees before returning the bill to the House. The matter of which body requests the conference is not without significance inasmuch as the one asking for the conference acts last upon the report to be submitted by the conferees.

AUTHORITY OF CONFEREES

Although the managers on the part of each House meet together as one committee they are in effect two separate committees, each of which votes separately and acts by a majority vote. For this reason the number of the respective managers is largely immaterial.

The conferees are strictly limited in their consideration to matters in disagreement between the two Houses. Consequently they may not strike out or amend any portion of the bill that was not amended by the Senate. Furthermore, they may not insert new matter that is not germane to the differences between the two Houses. Where the Senate amendment revises a figure or an amount contained in the bill, the conferees are limited to the difference between the two numbers and may not increase the greater nor decrease the smaller figure. Neither House may alone, by instructions, empower its managers to make a change in the text to which both Houses have agreed, but the managers for both bodies may be given that authority by a concurrent resolution adopted by a majority of each House.

However, where the Senate amendment to the bill strikes out all after the enacting clause and inserts a substitute bill for the House provisions the conferees have the entire subject before them. This is so even though particular sections of the substitute may be identical to sections in the version of the bill as it passed the House. When a disagreement to an amendment in the nature of a substitute is committed to a conference committee it is in order for the managers on the part of the House to propose a substitute which is a germane modification of the matter in disagreement, but the introduction of language in that substitute presenting a specific additional topic, question, issue, or proposition not committed to the conference committee by either House does not constitute a germane modification of the matter in disagreement. Moreover, their report may not include matter not committed to the conference committee by either House, nor may their report include a modification of any specific topic, question, issue, or proposition committed to the conference committee by either or both Houses if that modification is beyond the scope of that specific topic, question, issue, or proposition as so committed to the conference committee.

An amendment by the Senate to a general appropriation bill which would be in violation of the rules of the House, if the amendment had originated in the House, or an amendment by the Senate providing for an appropriation upon a bill other than a general appropriation bill, may not be agreed to by the managers on the part of the House, unless a specific authority to agree to such an amendment is first given by the House by a separate vote on each specific amendment.

MEETINGS AND ACTION OF CONFEREES

The meetings of the conferees are customarily held in executive session on the Senate side of the Capitol, with only the conferees and staff members or other expert assistants in attendance, although in rare instances Members or other persons have been admitted to make arguments.

There are generally four forms of recommendations available to the conferees when reporting back to their bodies, *viz*, that:

1. the Senate recede from all (or certain of) its amendments;
2. the House recede from its disagreement to all (or certain of) the Senate amendments and agree thereto;
3. the House recede from its disagreement to all (or certain of) the Senate amendments and agree thereto with amendments; and
4. the House recede from all (or certain of) its amendments to the Senate amendments.

In many instances the result of the conference is a compromise growing out of the third type of recommendation available to the conferees. The complete report may, of course, be comprised of one, two, three, or all four of these recommendations with respect to the various amendments. Occasionally the conferees find themselves unable to reach an agreement with respect to one or more amendments and so report back a statement of their inability to agree on those particular amendments. These may then be acted upon separately. This partial disagreement is, of course, not practicable where the Senate strikes out all after the enacting clause and substitutes its own bill which must be considered as a single amendment.

If they are unable to reach any agreement whatsoever the conferees report that fact to their respective bodies and the amendments are in the position they were before the conference was requested. New conferees may be appointed in either or both Houses. In addition, the Houses may instruct the conferees as to the position they are to take. The practice of instructing the original conferees at the time of their appointment is rarely used today.

After House conferees on any bill or resolution in conference between the two bodies have been appointed for twenty calendar days and have failed to make a report, the House rules provide for a motion of the highest privilege to discharge the House conferees and to appoint new conferees, or to instruct them. Further, during the last six days of any session it is a privileged motion to move to discharge, appoint, or instruct House conferees after House conferees shall have been appointed 36 hours without having made a report.

CONFERENCE REPORTS

When the conferees, by majority vote of each group, have reached complete agreement (or find that they are able to agree with respect to some but not all amendments) they embody their recommendations in a report made in duplicate which must be signed by a majority of the conferees appointed by each body. The minority portion of the managers have no authority to file a statement of minority views in connection with the report. Starting with the 92d Congress, in 1971, the report is required to be printed in both Houses and must be accompanied by an explanatory statement prepared jointly by the conferees on the part of the House and the conferees on the part of the Senate. (See Fig. 8, p. 65.) The statement must be sufficiently detailed and explicit to inform the Congress as to the effect which the amendments or propositions contained in the report will have upon the measure to which those amendments or propositions relate. The engrossed bill and amendments and one copy of the report are delivered to the body which is to act first upon the report; namely, the body that had agreed to the conference requested by the other.

In the Senate the presentation of the report is always in order except when the Journal is being read or a question of order or motion to adjourn is pending, or while the Senate is dividing; and when received, the question of proceeding to the consideration of the report, if raised, is immediately put and is determined without debate. The report is not subject to amendment in either body and must be accepted or rejected as an entirety. If the time for debate is limited, the time allotted must be equally divided between the majority and minority party. If the Senate, acting first, does not agree to the report it may by majority vote order it recommitted to the conferees. When the Senate agrees to the report its managers are thereby discharged and it then sends the original papers to the House of Representatives with a message advising that body of its action.

A report that contains any recommendations which go beyond the differences between the two Houses is subject to a point of order in its entirety. Any change in the text as agreed to by both Houses renders the report subject to the point of order and the matter is before the House *de novo*.

The presentation of the report in the House of Representatives is always in order, except when the Journal is being read, while the roll is being called, or the House is dividing on any proposition. The report is considered in the House and may not be sent to the Committee of the Whole on the suggestion that it contains matters ordinarily requiring consideration in that Committee. The report may not be received by the House if the required statement does not accompany it.

It is, however, not in order to consider a conference report until the third calendar day (excluding any Saturday, Sunday, or legal holiday) after the report and the accompanying statement have been filed in the House, and such consideration then is in order only if the report and accompanying statement have been printed in the daily edition of the Congressional Record for the day on which the report and statement have been filed; but these provisions do not apply

XVI. PRESIDENTIAL ACTION

The Constitution provides that—

> **Every Bill which shall have passed the House of Representatives and the Senate shall, before it becomes a Law, be presented to the President of the United States.**

In actual practice a clerk of the Committee on House Administration (or the Secretary of the Senate when the bill originated in that body) delivers the original enrolled bill to an employee at the White House and obtains a receipt therefor, and the fact of the delivery is then reported to the House by the Chairman of the Committee. Such delivery to a White House employee has customarily been regarded as presentation to the President and as commencing the 10-day Constitutional period for Presidential action.

Copies of the enrolled bill are usually transmitted by the White House to the various departments interested in the subject matter so that they may advise the President who, of course, cannot be personally familiar with every item in every bill.

If the President approves the bill he signs it and usually writes the word "approved" and the date, the only Constitutional requirement being that he sign it. (See Fig. 9, p. 67.)

The Supreme Court has stated that undoubtedly the President when approving bills may be said to participate in the enactment of laws, which the Constitution requires him to execute.

The bill may become law without the President's signature by virtue of the Constitutional provision that if he does not return a bill with his objections within 10 days (Sundays excepted) after it has been presented to him, it shall be a law in like manner as if he had signed it. (See Fig. 11, p. 69.) However, if the Congress by their adjournment prevent its return, it does not become law. The latter event is what is known as a "pocket veto," that is, the bill does not become law even though the President has not sent his objections to the Congress.

Notice of the signing of a bill by the President is usually sent by message to the House in which it originated and that House informs the other, although such action is not necessary to the validity of the act. The action is also noted in the Congressional Record.

A bill becomes law on the date of approval (or passage over the President's veto), unless it expressly provides a different effective date.

VETO MESSAGE

By the terms of the Constitutional provision, if the President does not approve the bill "he shall return it, with his objections to that House in which it shall have originated, who shall enter the objections at large on their Journal, and proceed to reconsider it." It is the usual but not invariable rule that a bill returned with the President's objections shall be voted on at once and when laid before the House the question on the passage is considered as pending. A vetoed bill is always privileged, and a motion to take it from the table is in order at any time.

The Member in charge moves the previous question which is put by the Speaker, as follows: "The question is. Will the House on reconsideration agree to pass the bill, the objections of the President to the contrary notwithstanding?" The Clerk calls the roll and those in favor of passing the bill answer "Aye," and those opposed "No." If fewer than two-thirds of the Members present (constituting a quorum) vote in the affirmative the bill is killed. and a message is usually sent to the Senate advising that body of the decision that the bill shall not pass. If however, two-thirds vote in the affirmative the bill is sent with the President's objections to the Senate together with a message advising it of the action in the House.

A similar procedure is had in the Senate where again a two-thirds affirmative vote is necessary to pass the bill over the President's objections. If then passed by the Senate the measure becomes the law of the land notwithstanding the objections of the President, and it is ready for publication as a binding statute. (See Fig. 12, p. 70.)

[Figure 1—Introduced Print[*]]

90th CONGRESS
1st Session

H. R. 8629

IN THE HOUSE OF REPRESENTATIVES

April 17, 1967

Mr. Celler introduced the following bill; which was referred to the Committee on the Judiciary

---

A BILL

To amend the Act of July 4, 1966 (Public Law 89-491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

---

[*] All illustrations in this document are reduced in size.

3. By deleting section 7 (a) and inserting in lieu thereof the following:

"SEC. 7. (a) There are authorized to be appropriated without fiscal year limitation such sums as may be necessary for the expenses of the Commission."

[Figure 2—Reported Print]

Union Calendar No. 182

90th CONGRESS
1st Session

H. R. 8629

[Report No. 509]

IN THE HOUSE OF REPRESENTATIVES

April 17, 1967

Mr. Celler introduced the following bill; which was referred to the Committee on the Judiciary

July 25, 1967

Reported with an amendment, committed to the Committee of the Whole House on the State of the Union, and ordered to be printed

[Omit the part struck through and insert the part printed in italic]

A BILL

To amend the Act of July 4, 1966 (Public Law 89–491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act" and inserting in lieu thereof "July 4, 1969.".

[Figure 4—Engrossed Bill*]

90th CONGRESS
1st Session

H. R. 8629

AN ACT

To amend the Act of July 4, 1966 (Public Law 89-491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

3. By deleting section 7(a) and inserting in lieu thereof the following:

"Sec. 7. (a) There is authorized to be appropriated not to exceed $450,000 for the period through fiscal year 1969."

Passed the House of Representatives August 7, 1967.

Attest: W. PAT JENNINGS,
Clerk.

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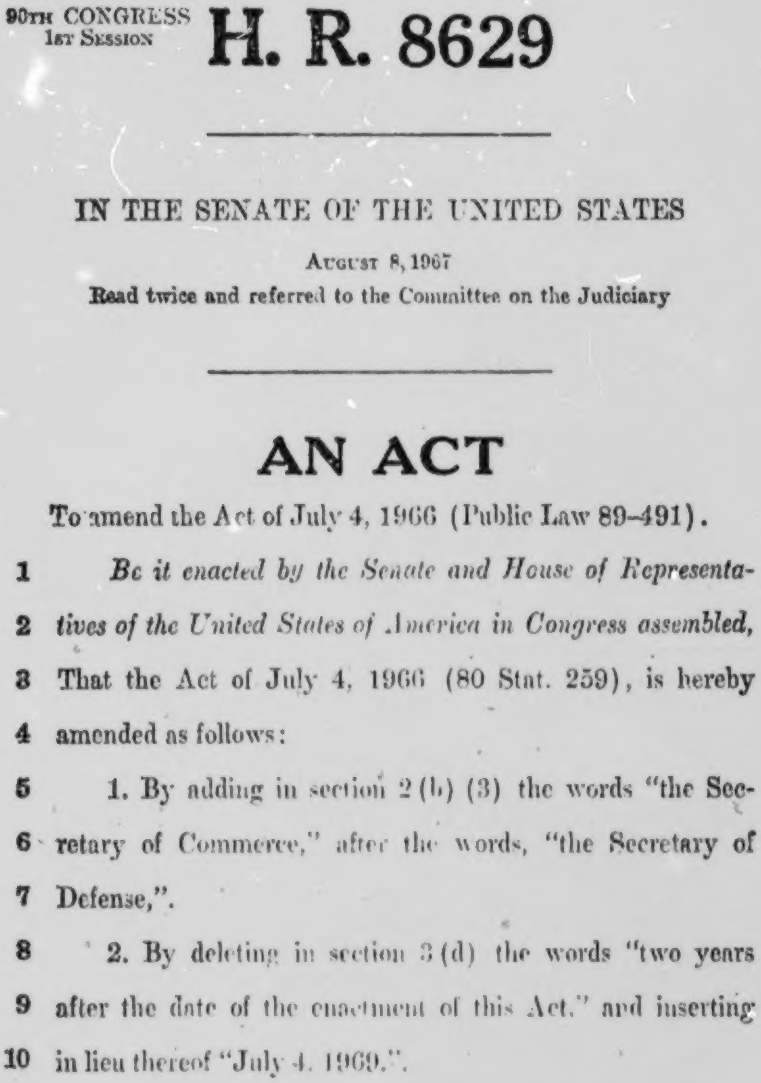
*Printed on blue paper.

[Figure 5—Senate Referred ("Act") Print]



90TH CONGRESS
1ST SESSION

H. R. 8629

IN THE SENATE OF THE UNITED STATES

AUGUST 8, 1967

Read twice and referred to the Committee on the Judiciary

AN ACT

To amend the Act of July 4, 1966 (Public Law 89–491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2 (b) (3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3 (d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

3. By deleting section 7 (a) and inserting in lieu thereof the following:

"Sec. 7. (a) There is authorized to be appropriated not to exceed $450,000 for the period through fiscal year 1969."

Passed the House of Representatives August 7, 1967.

Attest: W. PAT JENNINGS,
Clerk.

[Figure 6—Senate Reported Print]

Calendar No. 592

90th CONGRESS
1st Session

H. R. 8629

[Report No. 609]

IN THE SENATE OF THE UNITED STATES

August 8, 1967

Read twice and referred to the Committee on the Judiciary

October 11 (legislative day, October 10), 1967

Reported by Mr. Dirksen, with an amendment

[Insert the part printed in italic]

AN ACT

To amend the Act of July 4, 1966 (Public Law 89–491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4. 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

3. By deleting section 7 (a) and inserting in lieu thereof the following:

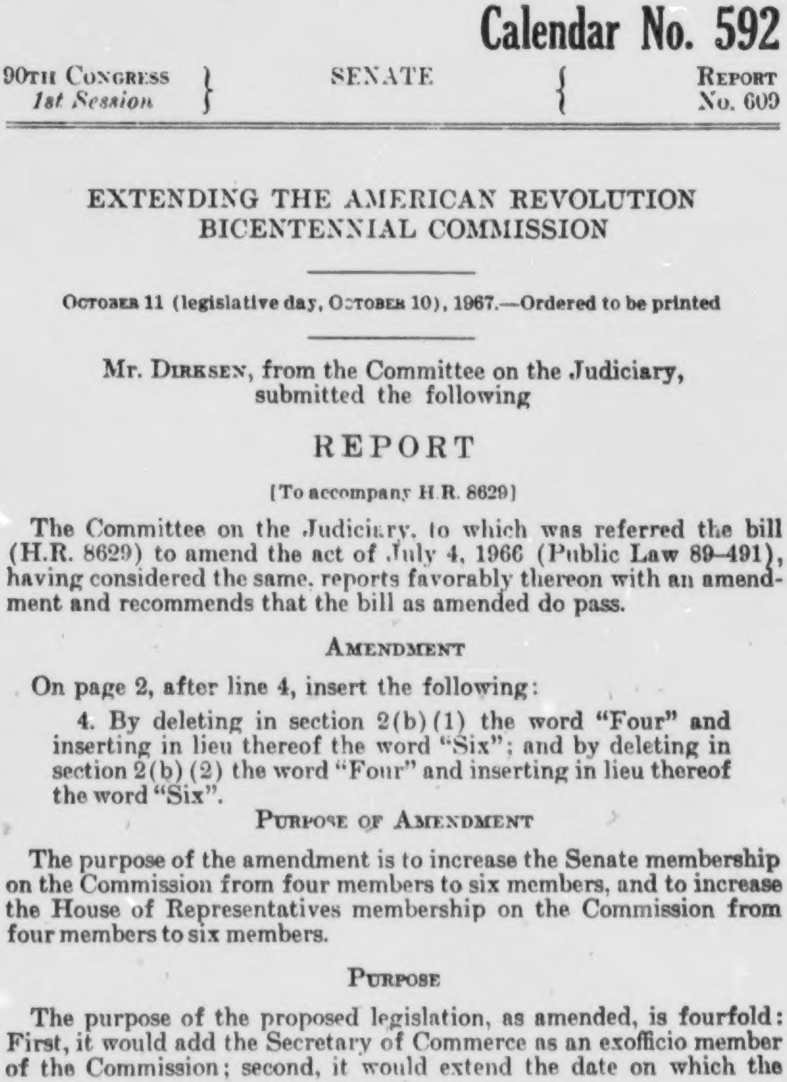
"Sec. 7. (a) There is authorized to be appropriated not to exceed $450,000 for the period through fiscal year 1969."

4. By deleting in section 2(b)(1) the word "Four" and inserting in lieu thereof the word "Six"; and by deleting in section 2(b)(2) the word "Four" and inserting in lieu thereof the word "Six".

Passed the House of Representatives August 7, 1967.

Attest: W. PAT JENNINGS,
Clerk.

[Figure 7—Senate Committee Report*]



Calendar No. 592

90th Congress, *1st Session* — SENATE — Report No. 609

EXTENDING THE AMERICAN REVOLUTION BICENTENNIAL COMMISSION

October 11 (legislative day, October 10), 1967.—Ordered to be printed

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Mr. Dirksen, from the Committee on the Judiciary, submitted the following

REPORT

[To accompany H.R. 8629]

The Committee on the Judiciary, to which was referred the bill (H.R. 8629) to amend the act of July 4, 1966 (Public Law 89-491), having considered the same, reports favorably thereon with an amendment and recommends that the bill as amended do pass.

Amendment

On page 2, after line 4, insert the following:

> 4. By deleting in section 2(b)(1) the word "Four" and inserting in lieu thereof the word "Six"; and by deleting in section 2(b)(2) the word "Four" and inserting in lieu thereof the word "Six".

Purpose of Amendment

The purpose of the amendment is to increase the Senate membership on the Commission from four members to six members, and to increase the House of Representatives membership on the Commission from four members to six members.

Purpose

The purpose of the proposed legislation, as amended, is fourfold: First, it would add the Secretary of Commerce as an exofficio member of the Commission; second, it would extend the date on which the

[With certain exceptions, the Legislative Reorganization Act of 1970, requires the report to contain an estimate of the costs involved in the bill]

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*First page only.

[Figure 8—Conference Committee Report]

90TH CONGRESS 1st Session } HOUSE OF REPRESENTATIVES { REPORT No. 987

AMERICAN REVOLUTION BICENTENNIAL COMMISSION

NOVEMBER 28, 1967.—Ordered to be printed

Mr. ROGERS of Colorado, from the committee of conference, submitted the following

CONFERENCE REPORT

[To accompany H.R. 8629]

The committee of conference on the disagreeing votes of the two Houses on the amendment of the Senate to the bill (H.R. 8629) to amend the act of July 4, 1966 (Public Law 89-491), having met, after full and free conference, have agreed to recommend and do recommend to their respective Houses as follows:

That the Senate recede from its amendment.

BYRON G. ROGERS,
BASIL WHITENER,
ANDREW JACOBS, Jr.,
RICHARD H. POFF,
CHARLES E. WIGGINS,
Managers on the Part of the House.
EVERETT M. DIRKSEN,
JOHN L. MCCLELLAN,
Managers on the Part of the Senate.

STATEMENT OF THE MANAGERS ON THE PART OF THE HOUSE

The managers on the part of the House at the conference on the disagreeing votes of the two Houses on the amendment of the Senate to the bill (H.R. 8629) to amend the act of July 4, 1966 (Public Law 89–491), submit the following statement in explanation of the effect of the action agreed upon by the conferees and recommended in the accompanying conference report:

The Senate passed H.R. 8629 with an amendment. The House disagreed to the amendment and requested a conference; the Senate then agreed to the conference.

H.R. 8629 as it passed the House added the Secretary of Commerce as an ex officio member of the American Revolution Bicentennial Commission, extended the time within which the Commission shall report to the President to July 4, 1969, and authorized the appropriation of funds to finance the work of the Commission.

These provisions are not in disagreement.

The Senate amendment added a provision which increased from four members to six members each the House and Senate membership on the Commission.

The conference report recommends that the Senate recede from its amendment.

BYRON G. ROGERS,
BASIL WHITENER,
ANDREW JACOBS, Jr.,
RICHARD H. POFF,
CHARLES E. WIGGINS,

Managers on the Part of the House.

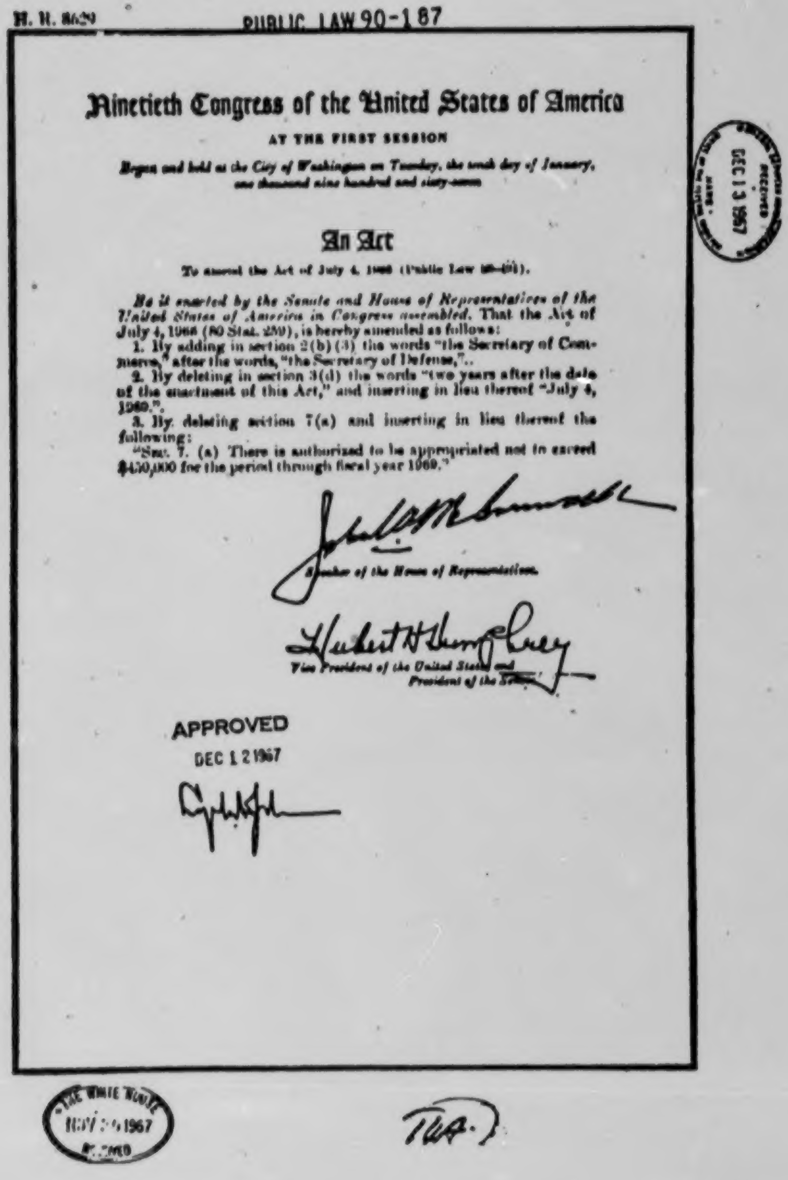
[Legislative Reorganization Act of 1970. and the Rules of the House now require the statement to be prepared jointly by conferees on the part of the House and conferees on the part of the Senate]

FORMAT OF JOINT EXPLANATORY STATEMENT OF THE COMMITTEE OF CONFERENCE

The managers on the part of the House and the Senate at the conference on the disagreeing votes of the two Houses on the amendment(s) of the House (Senate) to the bill (joint resolution) [number] ---- (title) ---- submit the following joint statement to the House and the Senate in explanation of the effect of the action agreed upon by the managers and recommended in the accompanying conference report.

——— ———,	——— ———,
——— ———,	——— ———,
——— ———,	——— ———,
Managers on the part of the House.	*Managers on the part of the Senate.*

[Figure 9—Enrolled Bill Signed by President]



H. R. 8629

PUBLIC LAW 90-187

Ninetieth Congress of the United States of America

AT THE FIRST SESSION

Begun and held at the City of Washington on Tuesday, the tenth day of January, one thousand nine hundred and sixty-seven

An Act

To amend the Act of July 4, 1966 (Public Law 89-491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

3. By deleting section 7(a) and inserting in lieu thereof the following:

"Sec. 7. (a) There is authorized to be appropriated not to exceed $450,000 for the period through fiscal year 1969."

Speaker of the House of Representatives.

Hubert H Humphrey

Vice President of the United States and President of the Senate.

APPROVED

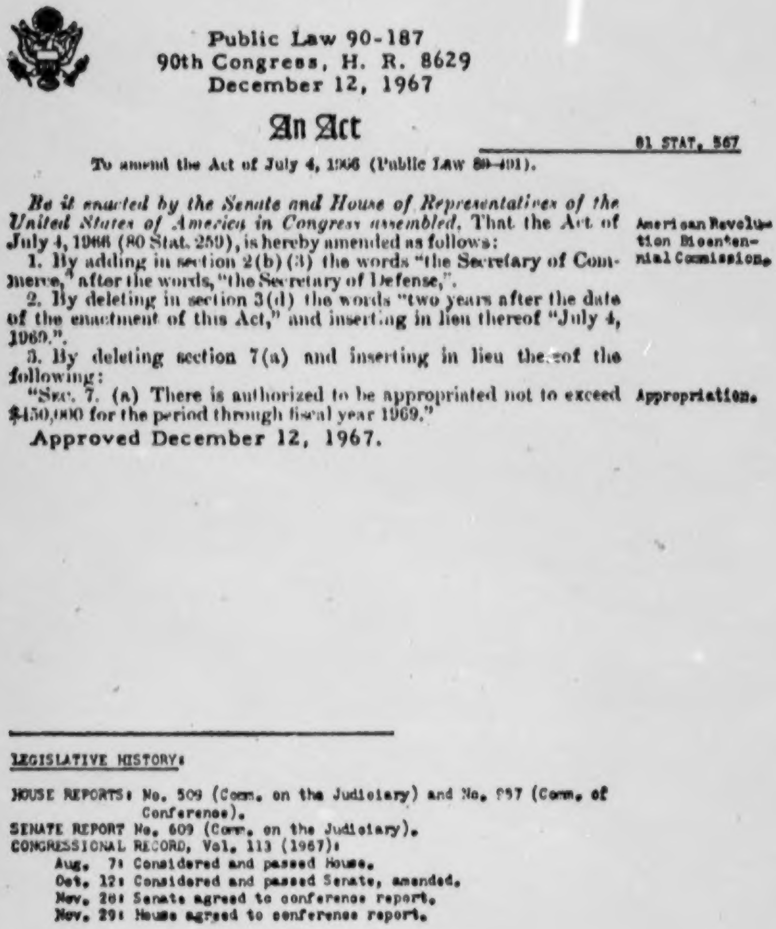
DEC 1 2 1967

RECEIVED DEC 13 1967

THE WHITE HOUSE NOV [illegible] 1967 RECEIVED

TWA.

[Figure 10—Slip law]



Public Law 90-187
90th Congress, H. R. 8629
December 12, 1967

An Act

81 STAT. 567

To amend the Act of July 4, 1966 (Public Law 89-491).

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That the Act of July 4, 1966 (80 Stat. 259), is hereby amended as follows:

American Revolution Bicentennial Commission.

1. By adding in section 2(b)(3) the words "the Secretary of Commerce," after the words, "the Secretary of Defense,".

2. By deleting in section 3(d) the words "two years after the date of the enactment of this Act," and inserting in lieu thereof "July 4, 1969.".

3. By deleting section 7(a) and inserting in lieu thereof the following:

"Sec. 7. (a) There is authorized to be appropriated not to exceed $450,000 for the period through fiscal year 1969."

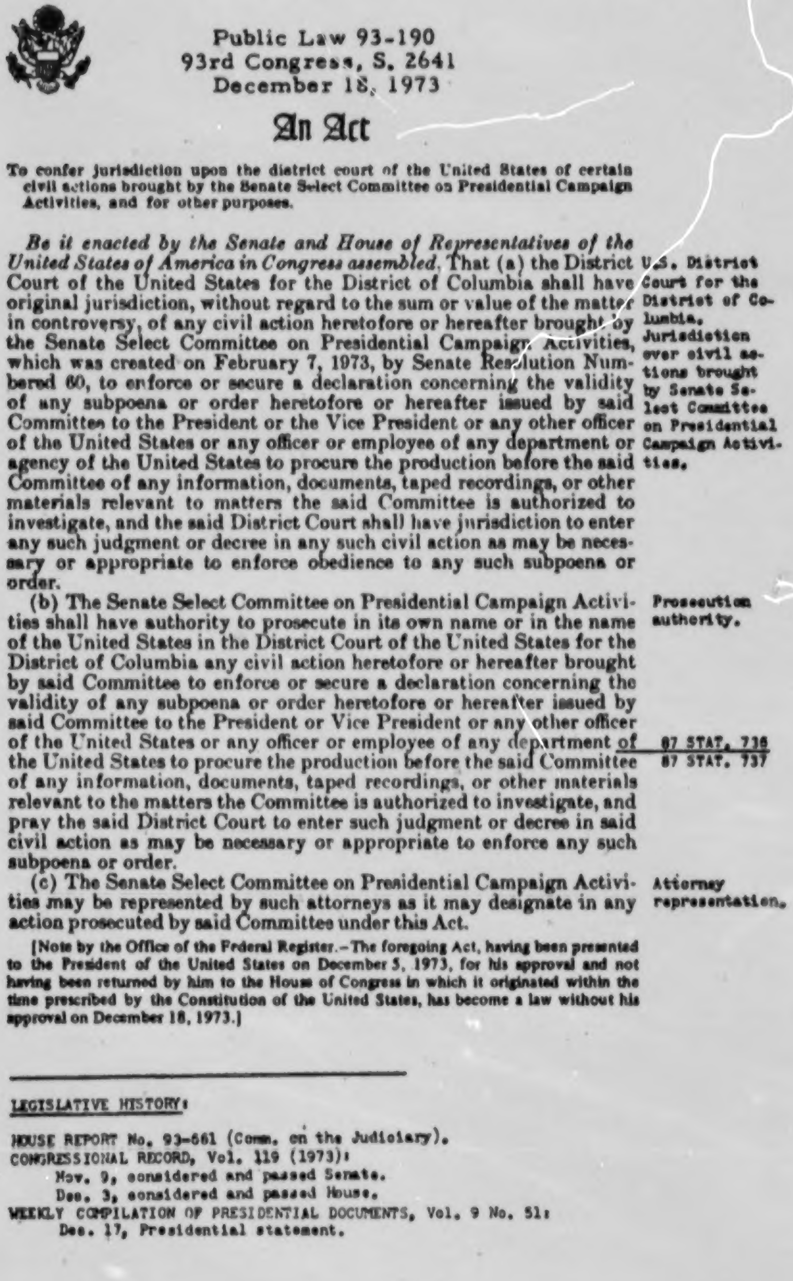
Appropriation.

Approved December 12, 1967.

LEGISLATIVE HISTORY:

HOUSE REPORTS: No. 509 (Comm. on the Judiciary) and No. 957 (Comm. of Conference).
SENATE REPORT No. 609 (Comm. on the Judiciary).
CONGRESSIONAL RECORD, Vol. 113 (1967):
Aug. 7: Considered and passed House.
Oct. 12: Considered and passed Senate, amended.
Nov. 20: Senate agreed to conference report.
Nov. 29: House agreed to conference report.

[Figure 11—Copy of Act which became a law without approval of the President]



Public Law 93-190
93rd Congress, S. 2641
December 18, 1973

An Act

To confer jurisdiction upon the district court of the United States of certain civil actions brought by the Senate Select Committee on Presidential Campaign Activities, and for other purposes.

Be it enacted by the Senate and House of Representatives of the United States of America in Congress assembled, That (a) the District Court of the United States for the District of Columbia shall have original jurisdiction, without regard to the sum or value of the matter in controversy, of any civil action heretofore or hereafter brought by the Senate Select Committee on Presidential Campaign Activities, which was created on February 7, 1973, by Senate Resolution Numbered 60, to enforce or secure a declaration concerning the validity of any subpoena or order heretofore or hereafter issued by said Committee to the President or the Vice President or any other officer of the United States or any officer or employee of any department or agency of the United States to procure the production before the said Committee of any information, documents, taped recordings, or other materials relevant to matters the said Committee is authorized to investigate, and the said District Court shall have jurisdiction to enter any such judgment or decree in any such civil action as may be necessary or appropriate to enforce obedience to any such subpoena or order.

U.S. District Court for the District of Columbia. Jurisdiction over civil actions brought by Senate Select Committee on Presidential Campaign Activities.

(b) The Senate Select Committee on Presidential Campaign Activities shall have authority to prosecute in its own name or in the name of the United States in the District Court of the United States for the District of Columbia any civil action heretofore or hereafter brought by said Committee to enforce or secure a declaration concerning the validity of any subpoena or order heretofore or hereafter issued by said Committee to the President or Vice President or any other officer of the United States or any officer or employee of any department of the United States to procure the production before the said Committee of any information, documents, taped recordings, or other materials relevant to the matters the Committee is authorized to investigate, and pray the said District Court to enter such judgment or decree in said civil action as may be necessary or appropriate to enforce any such subpoena or order.

Prosecution authority.

87 STAT. 736
87 STAT. 737

(c) The Senate Select Committee on Presidential Campaign Activities may be represented by such attorneys as it may designate in any action prosecuted by said Committee under this Act.

Attorney representation.

[Note by the Office of the Federal Register.—The foregoing Act, having been presented to the President of the United States on December 5, 1973, for his approval and not having been returned by him to the House of Congress in which it originated within the time prescribed by the Constitution of the United States, has become a law without his approval on December 18, 1973.]

LEGISLATIVE HISTORY:

HOUSE REPORT No. 93-661 (Comm. on the Judiciary).
CONGRESSIONAL RECORD, Vol. 119 (1973):
  Nov. 9, considered and passed Senate.
  Dec. 3, considered and passed House.
WEEKLY COMPILATION OF PRESIDENTIAL DOCUMENTS, Vol. 9 No. 51:
  Dec. 17, Presidential statement.

[Figure 12—Endorsements on Act which became a law after Presidential veto]

Public Law 93-148
93rd Congress, H. J. Res. 542
November 7, 1973

CARL ALBERT
Speaker of the House of Representatives.

JAMES O. EASTLAND
President of the Senate pro tempore.

IN THE HOUSE OF REPRESENTATIVES, U.S.,
November 7, 1973.

The House of Representatives having proceeded to reconsider the resolution (H. J. Res. 542) entitled "Joint resolution concerning the war powers of Congress and the President", returned by the President of the United States with his objections, to the House of Representatives, in which it originated, it was

Resolved, That the said resolution pass, two-thirds of the House of Representatives agreeing to pass the same.

Attest:

W. PAT JENNINGS
Clerk.

I certify that this Joint Resolution originated in the House of Representatives.

W. PAT JENNINGS
Clerk.

IN THE SENATE OF THE UNITED STATES
November 7, 1973.

The Senate having proceeded to reconsider the joint resolution (H. J. Res. 542) entitled "Joint resolution concerning the war powers of Congress and the President", returned by the President of the United States with his objections to the House of Representatives, in which it originated, it was

Resolved, That the said joint resolution pass, two-thirds of the Senators present having voted in the affirmative.

Attest:

FRANCIS R. VALEO
Secretary.

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TPU (c)

Babbidge Report. A Federal Education Agency for the Future, U.S. Office of Education, Committee on Mission and Organization, U.S. Government Printing Office, 1961.

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PART I

The Mission

THE BASIC MISSION of the Office, to "promote the cause of education," remains unchanged since its establishment in 1867. What has changed is the American public's conception of the role of its Federal Government in education.

mission of role

Role

For three quarters of a century, the Office of Education was regarded as an agency for the collection and dissemination of information describing the state of American education. a) As the American educational system became increasingly complex, the Office of Education assumed the responsibility for analyzing and interpreting b) this descriptive information. The knowledge born of such study made the Office a source of professional consultative service to organized education. c) Thus did the Office mature from a census-like statistics gathering agency into a broader professional resource for i.e. d) American education and, more particularly, American educators.

Society

It is of fundamental importance to note that throughout its development in its first three quarters of a century, the Office existed in a society in which virtually all responsibility for the conduct of American education rested outside the Federal Government. Given a situation in which the directive force of American education resided in States, local communities and autonomous institutions, it was inevitable that the pattern of the Office of Education's activities would be formed largely by outside forces—by the demands and needs of those who were responsible for the actual conduct of American education. In the words of a contemporary student of society, the Office of Education was "other-directed."

NB

However imperfectly it may have performed it, the Office of Education had, during this period of its development, a clear responsibility to assist educators throughout the Nation to do their work *as they saw their work.* Problems identified by working educators were referred to the Office for study and analysis, and solutions frequently emerged. But these solutions were—quite properly—the solutions to local problems, advocated only by those with actual responsibility for local education. The value of the Office's function in this process is, to the Committee, obvious. The failure of the Office to do all that it might have done, and all that it might have wished to do in this role,

must be attributed to a combination of factors that include the great variety of local needs and problems, and the absence of adequate mechanisms for the identification of common, recurring, and broadly pertinent problems. The latter obstacle has always been critical, in view of the obvious impossibility of creating a federal agency that could meet all demands for educational service. The Office has had to be highly selective in its areas of professional service, not always in the confidence that it was selecting the most important areas of service, but always in the certainty that it was neglecting many important areas.

The need for service to organized education—service based upon sophisticated analysis and study—has not abated in recent years, nor will it in the future. Indeed, the need for such service is growing and will continue to grow at a rate that poses a real test of the responsiveness of the Federal Government. Despite the significant changes that have taken place in the Federal role in education, the "center of gravity" in American education rests well outside the Federal Government, and will in the opinion of this Committee continue to do so. So long as the "doers" of American education are in local, State and independent enterprises; so long as they confront problems beyond the reach of their professional resources; and so long as a Federal agency exists to "promote the cause of education," then for just that long there must exist an extensive program of research-based service within the Office of Education.

But Also

This Committee will recommend in this report that the Office of Education assume new and important responsibilities. But before doing so, it wishes to underscore as forcefully as it can, the need for strengthening of the Office's time-honored functions in the area of professional assistance to education as it is organized. To be sure, the Committee will suggest significant modification of the manner in which such assistance is rendered; but these modifications have as their sole objective the enhancement of the quality of service to organized education. The need for effective service to organized education is so great and is growing so fast, the complexity of educational challenges multiplying so rapidly, that the Committee urges the simultaneous expansion and streamlining of Office activity in this area. Principally, the knowledge resources of the Office (including statistical data and research findings) must be greatly enhanced and their dissemination made fully effective through the use of modern techniques: methods for the planned identification of priority service needs and their effective programming developed; and a greater degree of mobility and flexibility of service activities e[illegible]d. Only

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in these ways can the most historic of Office functions be performed in the key and on the scale that the future demands.

New responsibilities have fallen to the Office of Education during the past decade, supplementing but not replacing those that emerge from its more historic role. These new responsibilities reflect nothing more or less than a change in public conviction as to the role of the Federal Government in the area of education. We have said that responsibility for the conduct of American education—at all levels—remains and will remain outside the Federal Government. But the American people have come to use the one government they have in common to augment and strengthen the activities of the several governments they have separately. The reasons for this are perhaps better analyzed by economists and political scientists; this Committee acknowledges it as a fact. The Committee foresees an extension of the active Federal role in education.

The Federal Government has become an active participant in the effort to promote the cause of American education. Two examples will suffice to point out the extent of this shift in attitude, and to suggest certain major reasons for that shift.

School Assistance in Federally-Affected Areas: In 1950, the Congress enacted Public Laws 815 and 874, authorizing Federal payments to local school districts for the construction, and the maintenance and operation, of public elementary and secondary schools. This legislation acknowledges, in effect, the unavoidable interrelationships of public actions taken at different levels of government. By this Congressional action alone, the Office of Education has been called upon to administer funds in excess of two billion dollars during the last decade.

The National Defense Education Act: In 1958, the Congress enacted Public Law 85-864, a complex and far-reaching program involving elementary, secondary and higher education, and having the twofold objective of improving the quality of instruction in the Nation and of encouraging and enabling the fullest development of able youth. The Congress here acknowledged the existence of an identifiable national interest in strong instruction in certain fields, and a national need for highly-trained manpower. Careful always to work in ways that strengthen local autonomy, the Congress nevertheless acknowledged the propriety of Federal stimulus at those points and in those areas of education in which the Nation as a whole has a greater stake than might be recognized locally. This Congressional action makes

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the Office responsible for the administration of $187,480,000 of current appropriations.

new #1

These two Congressional actions indicate the extent to which the Office of Education has recently been called upon to *execute Federal policy affecting education.* It is estimated that about 60 percent of the total Office of Education staff is now engaged principally in the performance of this function. The Office is responsible for the execution of public policy as expressed in over 20 separate pieces of legislation, with grant and contract responsibilities amounting to approximately half a billion dollars a year. The Committee anticipates further extensive growth in this area of Office responsibility. Pending before the Congress at the time of this writing are recommendations of the President that would, if enacted, almost treble the grant budget of the Office of Education.

But not all Federal programs affecting American education are or should be the administrative responsibility of the Office of Education. In higher education alone, it is estimated that some 1.5 billion Federal dollars flow annually to or through colleges and universities, but the Office is responsible for administering less than 10 percent of this amount. Research expenditures of the Department of Defense, the National Institutes of Health and others, are among ~~the items that~~ account for the bulk of Federal expenditures. Increasing concern has been expressed in and out of Government over the possible ill effects of such expenditures on American institutions of higher education.

The Office of Education, as a result of a specific Congressional mandate in Title X of the National Defense Education Act, has been delegated the responsibility of advising and consulting "with the heads of departments and agencies of the Federal Government responsible for the administration of scholarship, fellowship, or other educational programs with a view to securing full information concerning" such programs and "to developing policies and procedures which will strengthen the educational programs and objectives of the institutions of higher education utilized for such purposes. . . ." No less urgent need exists for the assessment of the impact of aggregate Federal action upon the elementary and secondary schools of the Nation. Thus, out of the increasingly active role of the Federal Government in our society, emerges yet another new function and responsibility of the Office of Education. It is to be responsible for the monitoring (in the communications rather than the schoolmaster's sense of the term) of Federal activities that affect the Nation's educational well-being. ~~As such, it must assume the role of a voice of conscience~~

new #2

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Cont'd

within the Federal Government, speaking for the long-term national interest in education, in contrast to the voices that speak of a shorter-range Federal interest in the many uses to which education can be put.

Still another new dimension of Office responsibility has emerged during the last decade, the future implications of which impress this Committee as being of substantial magnitude and extraordinary significance. We refer to the area of international education. The compelling character of world developments inevitably affects educational practices and, as inevitably, educational organization. As the United States has acknowledged its international responsibilities, this has been mirrored in educational affairs, for the educational foundations of international understanding have been among the Nation's important discoveries during this process of maturation. Not only have we, as a Nation, recognized the need to learn more about the peoples of the world and their ways; we have come to realize that other nations may need our help in their efforts to learn more of us and of the rest of the world. We must strengthen and improve our educational system and we must help many others to improve theirs.

The responsibilities of the Federal Government in this effort are marked. Not only is it the constitutional responsibility of the Federal Government to conduct the foreign affairs of the Nation; it is almost equally evident that national observers are especially well qualified to assess the international deficiencies of our domestic educational system. The modern foreign language development program authorized by the NDEA is an instance of Federal identification of an international need imperfectly acknowledge by local and State educational agencies. It seems to the Committee axiomatic that intimate involvement of the United States in international affairs will lead to the identification of other educational needs that could hardly be so readily seen by local, State, and institutional authorities. And for precisely the reason that the Federal Government feels these deficiencies most acutely, it has a unique responsibility to sponsor and subvene their remedies.

new #3

Given an unusually great Federal interest in this area of education, it is evident that a Federal education agency must be especially prepared to cope with problems, issues, and programs in international education. That these activities must be closely related to the Federal agencies responsible for the conduct of foreign affairs is equally obvious. But without the existence of a strong Federal education agency versed in international needs, the phrase "education as an instrument of foreign policy" would take on ominous significance for the future integrity of our educational enterprise.

Thus the Committee sees an urgent need to embrace international educational activities within the Office of Education, and to embrace them not as unavoidable tests of capacity (which they are) but as an extraordinary opportunity to serve the national interest in education.

The last decade has seen added to the historic functions of the Office, then, a variety of new responsibilities: growing responsibilities in the carrying out of established Federal policy; responsibility as the Federal Government's educational auditor; and distinctive responsibility in the field of international education. All three of these new major functions are an outgrowth of increasingly active national concern for education. All three of these new major functions point to what may be identified as a fourth—extensive involvement in the *formulation* of national policy.

4th - new

Reed to lean

Every agency of the Executive Branch of government serves, to a greater or lesser degree, in a staff capacity to the President of the United States. The President alone is responsible for the formulation of Executive Branch policy, but he can be and is aided enormously by the staff of his executive agencies. Historically, with the Federal Government in a passive attitude toward educational affairs, the Office of Education had little responsibility for staff services in the formulation of national policy. Its own staff, indeed, was virtually dedicated to serving local, State and institutional policies rather than a national policy. In more recent years, as the Federal Government has begun to search out the dimensions of a national policy, it is not surprising that it has relied only partially on its own educational agency for staff assistance. Small, staffed by persons primarily concerned in the rendering of service to their counterparts in the field, and inexperienced in the administration of Federal programs, the Office of Education may have appeared a weak reed on which to lean. Its orientation to the needs of education as it is (now) organized led not infrequently to the charge that the Office of Education was too professionally-minded to render staff assistance in the formulation of public policy.

The members of this Committee acknowledge without apology that the Office has not been able to render the staff services now required. We would observe that until recently virtually no one has wanted the Office of Education to be anything other than what it was. Such inadequacies as the Office may have displayed in recent years reflect the speed with which its functions and responsibilities are changing; to have today's responsibilities with yesterday's resources has proven embarrassing.

Cont'd →

This Committee, having as its charge the assessment of tomorrow's responsibilities, will urge action to insure that the Office of Education is prepared to render vastly increased staff services to the President (and through him to the Congress and the American people) in the initiation and formulation of broad national policies in the field of education.

continue [illegible]

In the United States, more so than in any other nation in the world, educational policy is shaped by the people. This is true whether one thinks of the Nation's 42,000 local school boards or of the Congress of the United States. It is the American conviction that the destiny of the Nation is secure only in the hands of the people.

This critical fact of American life has great significance for the future of the U.S. Office of Education. Most importantly, it means that the Federal educational agency must never isolate itself from the public. Indeed it must do all in its power both to hear the voice of the people and to speak to the people on matters of education. It must, in a current phrase, be an office of education, not an office of educators.

More specifically, the popular foundations of American education argue for the treatment of educational problems in the larger context of American life. Questions of educational finance cannot be studied without regard to public finance and taxation generally; the problems of juvenile delinquency cannot be disregarded simply because they are only partially of educational origin; nor can the educational needs of Americans be neglected simply because the individuals have matured beyond the traditional school years. They argue, too, for a staff that is broadly concerned with and sensitive to all aspects of American life. Finally, the popular nature of American education argues for the creation of a national lay advisory body in the field of education.

Given these general observations about the future role and functions of the U.S. Office of Education,[1] the Committee believes that the present organization of the Office is not adequate. We have endeavored, in the remainder of this report, to describe an organizational structure that we believe would facilitate the effective exercise of responsibilities we see in store for the Office. We cannot in good conscience say it is perfect or that it is necessarily the best organizational pattern for the Office. Certainly there are a variety of other suggestions that could be made. We are, however, agreed that the organizational structure recommended is the best expression of our views that can be offered after many months of earnest study.

Given this mission these functions [illegible] = [illegible]

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[1] See Appendix B for a fuller statement of the future mission of the Office of Education, prepared by the Committee in December 1960, as a preparation for its discussion of organizational needs.

The Committee is unanimously agreed upon one other thing. No organizational structure will permit the Office of Education to contribute to American life, as we conceive that it should, without persons whose personal qualities, professional preparation and sense of dedication to the cause of education are of the highest order. Without these, and without vigorous and imaginative leadership from the Commissioner of Education, no table of organization will be adequate to the tasks ahead.

need people { personal qualities / profess'l preparation / sense of dedication } highest order

PLUS leadership [illegible]

- vigorous
- imaginative

plus T/O?

Expanded Reading List

1. An Act. S. 2642, House of Representatives, Washington, D.C., August, 1964.
2. Bardach, Eugene. The Implementation Game: What Happens After A Bill Becomes a Law, The MIT Press, Cambridge, Mass., 1977.
3. Brecker, Charles. "The Mismatched Misunderstanding," New York Affairs, Vol. 4, No. 1, Winter, 1977.
4. Califano, Joseph. Report on the 1977 Welfare Reform Study.
5. Economic Opportunity Act of 1964. H.R. 11377. Committee on Education and Labor, U.S. Government Printing Office, Washington, D.C.
6. Economic Opportunity Act of 1964. Office of Economic Opportunity, U.S. Government Printing Office, Washington, D.C., March, 1970.
7. Economic Opportunity Act of 1964. Committee on Education and Labor, House of Representatives, U.S. Government Printing Office, Washington, D.C., March, 1964.
8. Economic Opportunity Act of 1964. Hearings Before the Subcommittee on the War on Poverty Program. H.R. 10440, Part I, Part 2, Washington, D.C., April, 1964.
9. Faux, Geoffrey. "Public Service Employment: Who Decides?" Harold Sheppard et. al., The Political Economy of Public Service Employment, Lexington, 1972.
10. Gans, H. More Equality, Vintage, 1973, Ch. 2
11. Ginzberg, Eli. "Full Employment: The New York Perspective," New York Affairs, Vol. 4, No.1, Winter, 1977.
12. Gordon, David. "Capitalism and the Roots of Urban Crisis," Vintage, 1977.
13. Harrington, Michael. "July in January," New Republic, January 22, 1977, pp. 60-64.
14. Harrison, Bennett. "Public Service Jobs for Urban Ghetto Residents," The Political Economy of Public Service Employment, Lexington, 1972.

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15. Haveman, Robert. Poverty, Income Distribution, and Social Policy: The Last Decade and the Next, Institution for Research on Poverty, September, 1976.

16. Howe, Irving. "The Cities' Secret," New Republic, January 22, 1977, pp. 55-57.

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18. McDonald, Laughlin. "Has the Supreme Court Abandoned the Constitution?" Saturday Review, May 28, 1977, pp. 10-14.

19. Moynihan, Daniel. "The Liberal Dilemma," New Republic, January 22, 1977, pp. 57-60.

20. National Civil Service League. "Overcoming Civil Service Barriers to Employment in the Public Sector," The Political Economy of Public Service Employment, Lexington, 1972.

21. National Defense Education Act of 1958.

22. Piven, Frances Fox and Richard Cloward. Regulating the Poor, Vintage, 1971, Ch. 1.

23. Piven, F. The Urban Crisis: Who Got What and Why, Vintage, 1977.

24. The President's Science Advisory Committee. Innovation and Experiment in Education, March, 1964.

25. Report of the Committee on Foreign Relations. U.S. Senate on S. 1154. Mutual Educational and Cultural Exchange Act of 1961. U.S. Government Printing Office, Washington, D.C., 1961.

26. Rutstein, Jacob. "Staffing Guidelines for Local Public Service Employment," The Political Economy of Public Service Employment, Lexington, 1972.

27. Silverman, Eli. "New York City Revenues: The Federal and State Role," in R. Alcaly and D. Mermelstein, The Fiscal Crisis of American Cities, Vintage, 1977.

28. State of New York. An Act. Rules Report No. 595, June 8, 1966.

29. Tolchin, M. and S. To the Victor, Vintage, 1971, Ch. 1.

** Capacities for a Theory/Practice Curriculum Model

1. Is sensitive to his/her own values and to those of others; and to how these values relate to their actions and views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service, as well as a range of behavior which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency responsibilities and actions are incongruous or consistent with these criteria.

4. Organizes and completes work assigments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsiblities and engages in an on-going critique of one's own products and performance.

9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilties influence what constitutes an appropriate response to a problem issue or situation. *

* Capacity 9 was developed in June, 1977.

** See following page for Revised Draft System of Capacities for complete descriptions.

Revised Capacities System for the Theory/Practice Curriculum Model

1. Can articulate and is aware of own values and those of others and to how these values relate to one's own and others' views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defined judgments on whether one's agency resonsibilities and actions are incongruous or consistent with these criteria.

*3a. Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

**5a. Is able to express simple and only moderately complex ideas, practices situations, conclusions, etc. using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

**5b. Recongizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

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* Drafted after 1977-1978 pilotings. The original Capacity 3 relates to student development of a sense of purpose involving a system of ethics and goals grounded in democratic theory. The newer capacity, 3a, relates to student development of a more generalized sense of purpose and the importance of "purpose" or goals to all phases of public agency management.

** Drafted after 1977-1978 pilotings. Although Capacities 5a and 5b may be viewed as implicit in Capacity 5 itself (as well as several other Capacities), it is, nonetheless, essential to explicitly recognize the importance of being able to write grammatical, professional prose and recognize nuances of professional language. If these Capacities are not made explicit, it is possible that their development will be taken for granted.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an ongoing critique of one's own products and performance.

*9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem issue or situation.

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* Drafted in June 1977.

The CBA/Capacity Grid

The following chart delineates which of the Capacities are developed in the theory/practice units (TPUs) of this CBA. In overall organization, the chart is arranged by TPU. For each TPU, the chart contains three (3) columns. The first column labelled "Capacity" identifies the number of each Capacity developed in the TPU and briefly describes the Capacity. (For a full description of each Capacity see "Revised Capacities System for the Theory/Practice Curriculum Model.")

The second column identified the Medgar Evers College piloting syllabus objective that corresponds to the TPU and the particular components in which a Capacity is developed. (For a full description of the objectives, see the Fall, 1978 Medgar Evers College piloting syllabus. For a description of each TPU's components, see the list of TPUs and their components.)

The third columngives at least one example of how a given Capacity is actually developed in the TPU. Examples may relate to teaching strategies, resources or assessments.

CBA/Capacity Grid

TPU (a)

Capacity	Syllabus Objective and TPU/Component	Comment
#1-values	Objective A/TPU (a), components 1 and 2	Component 1: In examining the background to and evolution of a statute such as ESEA, students become aware of how diverse perspectives reflecting a wide range of values influence actors' conceptions of the need for and best scope of proposed new programs. Component 2: In selecting a program to advocate, choosing supporting data for this proposed federally-financed program, and in selecting a role for their advocacy, students become aware of their own values.
#4-organizes work	Objective A/TPU (a), component 2	Student organizes and completes drafts of an advocacy paper and then submits completed final draft.
#5-analyzes and presents with clarity	Objective A/TPU (a), component 2	Presents Advocacy paper.
#5a-expresses ideas in professional language	Objective A/TPU (a), component 2	Presents Advocacy paper.
#5b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	Pre/post questions assess ability to recognize meanings of terms such as policy rationale.
#7-implications of actions	Objective A/TPU (a), component 2	In writing the Advocacy paper, student must understand the implication of a particular program design in terms of its congruency with solving a given problem.
#8-recognizing one's own strengths and weaknesses	Objective A/TPU (a), component 2	Students critique successive drafts of their own and others Advocacy papers. They learn the benefits of revising later drafts based on in-class criticisms.
	TPU (b)	
#2-value of flexibility...need for closure	Objective B/TPU (b), components 1 and 2	In studying the governmental processes through which ESEA was enacted into law, students see the importance of flexibility on the part of executive branch, legislative, and interest group actors, in helping to formulate a bill that could actually become a law.

CBA 2

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Pre/post test questions probe for ability to recognize key terms, e.g., conference committee, constituents, etc.
	TPU (c)	
#3a-recognizes and pursues purpose	Objective C/TPU (c), components 2 and 4	Students learn to analyze selected statutes in terms of the broad public objectives of a newly-enacted program; students learn to identify program goals and objectives.
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 - 5	Central to the entire unit. Students must learn to distinguish such related concepts as direct mandates, delegations of authority and prohibitions. The language of the statute and its importance to the public administrator (and to the public management process) is the core of this TPU.
	TPU (d)	
#1-values	Objective D/TPU (d), components 1 - 4	In examining issues relating to (for example) federal aid to religious schools or comprehensive reform of the welfare system, values implicit in many different positions may be discerned.
#2-values of flexibility...need for closure	Objective D/TPU (d), components 1 and 2	The passage of ESEA, students learn, was only made possible because of the flexibility of the various individuals and groups involved.
#5b-recognizes nuances of language	Objective D/TPU (d), components 1 - 4	Students learn how nuances of language can influence resolution of a dispute over policy issues. While secularist groups would not permit aid to parochial schools, they would allow it to students attending such schools.
#7-implications of actions	Objective D/TPU (d), components 2 - 4	Students learn how a particular resolution or partial resolution of an issue in the passage of ESEA and income-maintenance statutes, has consequences for subsequent proposals for revision of these laws and for their implementation.

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU (e)	
#5b-recongizes nuances of language	Obejctive E/TPU (e), components 1 - 6	Pre/post questions assess the student's ability to distinguish between steps that are necessary to take when implementing a new program and steps that are quite possible.
#7-implications of actions	Objective E/TPU (c), components 1 - 5	Discussion centers on the consequences which will result if the federal agency does or does not take various steps to ensure that its structure, work force, procedures, etc. are congruent with the demands of the new program.
#9-roles...their relation to appropriate responses	Objective E/TPU (e), components 1 - 4	Discussion focuses on how intra-agency roles and responsibilities may shift in the wake of new-program implementation and structural reorganization, e.g, in U.S.O.E. after the passage of ESEA.

CBA 3 - Communicating Public Agency Policies, Plans and Practices

TPU's and Components

The TPU's represent broad statements of objectives. The components, subsumed under each TPU, represent behavioral or performance objectives which are assessable.

The objectives in the syllabus correspond to the TPU's. The components are not included as such in the syllabus, but they are reflected in the topical outline.

TPU's and Components

Rev. 4/78

Competence-based Area 3
Communicating Public Agency Policies, Plans and Practices

TPU (a): Ability to understand the structure and function of communication links within a public agency.

Components

1. To be able to identify the complex network of channels through which information may flow in a public agency.
2. To be able to understand how the structure and function of communication links in a public agency can influence patterns of executive control and administrative power.
3. To be able to recognize blockages in the communication network in a public agency which result in barriers to the initiation, transmission and/or reception of messages.

TPU (b): Ability to analyze public agency directives, guidelines* public policy statements and other informational documents (e.g., annual reports and press releases) for the purpose of extracting and summarizing their essential elements.

Components

1. To be able to analyze public agency informational documents and extract and summarize their essential elements.
*2. To be able to analyze public agency directives/guidelines and extract and summarize their essential elements.
3. To be able to analyze public policy statements and extract and summarize their essential elements.

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* Optional. (Omitted from MEC syllabus and pre/post test) (9/77)

Rev. 4/78

TPU (c): Ability to develop and produce oral presentations which clearly identify public agency problems, processes or practices.

Components

*1. To be able to develop and produce oral presentations which clearly identify public agency problems, processes or practices.

2. To be able to focus the content of oral presentations on public agency programs, policies or activities so that they are congruent with a specified public agency audience.

3. To be able to focus the style of oral presentations on public agency programs, policies or activities so that they are congruent with a specified public agency audience.

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* Optional. Omitted from MEC syllabus and pre/post.

Rev. 4/78

TPU (d): Ability to use a variety of professional formats (e.g., position papers, highlight memoranda) for the presentation of analyses and recommendations concerning public agency plans, policies and practices.

Components

1. To be able to develop and produce a highlight memorandum on material concerning public agency plans, policies and practices.

*2. To be able to develop and produce an abstract of material concerning public agency plans, policies and practices.

*3. To be able to develop and produce a position paper in the area of public agency plans, policies and practices.

*4. To be able to develop and produce an alternatives paper concerning public agency plans, policies and practices.

*5. To be able to develop and produce a progress report which makes recommendations concerning public agency plans, policies and practices.

TPU (e): Ability to demonstrate flow-charting skills which clearly and accurately represent public agency processes, future goals and work in progress.

Components

1. To be able to analyze a flow-chart that represent public agency processes, work in progress and future goals.

2. To be able to aid in the production of ** a flow-chart that clearly and accurately represents public agency patterns.

** Refined 9/77
* Optional

TPU (f): Ability to analyze various mechanisms to increase agency openness and accountability and appraise their respective strengths and weaknesses; ability to identify possible tensions which may exist between the need for public agency openness and the effective performance of the agency's legislatively-mandated function(s).

Components

1. To be able to identify the key provisions of the federal and state Freedom of Information Acts and the way they can be used to increase agency openness and accountability.
2. To be able to recognize the theory and practice of "sunshine" laws and the way they can be used to increase the openness and accountability of public bodies.
3. To be able to understand the problems involved in enforcing the provisions of Freedom of Information Acts.
4. To be able to understand the problems involved in enforcing "sunshine" laws.
5. To be able to identify possible tensions which may exist between the need for public agency openness and the effective performance of the agency's legislatively-mandated function(s).

Revised 6/78 Fall '78

Medgar Evers College

of

The City University of New York

Public Administration 201 - Government Communications

3 credits
3 hours

Syllabus

1. Course Description

External and internal communication systems, practices, and policy issues involved in government operations are evaluated. Relationships among government, quasi-public, community-based agencies, and the public-at-large are studied as well as issues that arise in the United States which demand openness and accountability to the public sector.

Prerequisite: P.A. 120, P.A. 103

2. Course Objectives

Unit A - To develop the ability to understand the structure and function of communication links within a public agency.

Unit B - To develop abilities necessary to analysis of public policy statements and other informational documents (e.g., annual reports and press releases).

Unit c - To develop abilities necessary to development and production of oral presentations which clearly identify public agency problems, processes or practices.

Unit D - To develop the ability to use a variety of written professional formats (e.g., highlight memoranda) for the presentation of analyses and recommendations concerning public agency plans, policies and practices.

Unit E - To develop the ability to demonstrate flow-charting skills which clearly and accurately represent public agency processes, future goals and work in progress.

Unit F - To develop the ability to identify various mechanisms to increase agency openness and accountability and appraise their respective strengths and weaknesses; to develop the ability to identify possible tensions which may exist between the need for public agency openness and the effective performance of the agency's legislatively-mandated function(s).

3. Methodology

Lecture discussion and practicum in agency-oriented communication techniques are supplemented by student's reading of theoretical and case study public administration literature and public agency materials. Students receive practice in developing and producing oral and in-house format written presentations dealing with public agency policies, practices and issues, and experience in analyzing and critiquing the oral and written presentations of others. Use of videotapes as a teaching and assessment method.

4. Topical Outline

I. The structure and function of communication links in a public agency.

a. The complex network of communication channels in a public agency.

b. The influence of various communication patterns on executive control and administrative power.

c. The effect of communication blockages on initiation, transmission and/or reception of messages.

II. Analyzing public policy statements, and informational documents for the purpose of extracting and summarizing essential elements.

a. Analyzing public policy statements.

b. Analyzing informational documents.

III. Workshop in developing **skills and abilities necessary for the production** of oral presentations which clearly identify public agency problems, processes or practices.

IV. Development and production of a variety of professional in-house written presentations concerning public agency plans, policies and practices, e.g., highlight memoranda, abstracts, position papers, alternative papers and progress reports.

V. The use of flowcharts in representing public agency processes, goals and work-in-progress.

VI The quest for public agency openness and accountability.

a. Mechanisms to increase public agency openness and accountability; their strengths and weaknesses; problems relating to their enforcement.

1. Federal and state Freedom of Information Acts

2. Sunshine laws

b. Possible tensions which exist between the need for agency openness and the effective performance of the agency's legislatively-mandated functions.

5. Required Readings

[illegible]

1. Simon Herbert A., et. al. "The Communication Process" in Richard J. Stillman (ed.) Public Administration: Concepts and Cases (Boston: Houghton Mifflen, 1976), pp. 177-183.

Unit b.

1. New York State Legislative Commission on Energy Policy. Establishing an Energy Policy for New York State, 1975 (public policy document).

2. Department of Social Services (N.Y.S.) Annual Report, 1974 (informational document).

Unit c.

1. Packet A: Excerpts from speeches on public policies, practices and issues.

Unit d.

1. Packet C: Sample In-House Public Agency Formats-highlight memorandum, abstract, position paper, alternatives paper, progress report, and an accompanying analysis.

2. Energy Policy Project of the Ford Foundation. "The Energy Gap" and "Looking Forward: Introduction to Scenarios," in Exploring Energy Choices, Washington, D.C., pp. 1-8, 39-54.

3. National Consumer Congress. Energy Conservation.

4. President Ford's 1975 State of the Union Message including Economy and Energy.

5. U.S. Department of H. E. W., Administration on Aging. Let's End Isolation, 1973 (revised, 1974).

6. Federal Personnel Management Project, Option Paper #6. Job Evaluation, Pay and Benefits Systems, U.S. Government Printing Office, October 14, 1977, p. 16-24.

Unit e.

1. "Flow Chart for Changing a Tire" Training House, Inc.

2. A.S.A. Training Cycle Flowchart.

3. CAP/CDA Program Revitalization Project Flowchart.

4. Jon Russell, Cases in Urban Management, MIT Press, Massachusetts, 1974, pp. 274-277.

Unit f.

1. Warren Bennis. "Have We Gone Overboard on "The Right to Know"?" Saturday Review (March 6, 1976), 18-21.
2. Frances Cerra, "New York's Information Law Termed in Need of Overhaul" New York Times, May 23, 1976.
3. Emerson, Thomas. "The Danger of State Secrecy," Nation (March 30, 1974), 395-399.
4. Goldman, Ari. "The Sunshine Laws Do Not Uniformly Let Sunshine In," New York Times (April 10, 1977), p. 7.
5. Porter, Sylvia. "Your Right to Know" New York Post (Dec. 17, 1974).

6. Supplementary Readings

A wide range of supplementary public agency materials will be made available to students including many examples of public policy statements, informational documents, speeches, etc. The instructor will use some of these materials to highlight class discussions. Supplementary materials will also be identified for the student in connection with the development of their oral and written presentations.

a. **Congressional Budget Office, Congress of the United States. "Federal Law Enforcement Assistance: Alternative Approaches, Budget Issue Paper For Fiscal Year 1979, U.S. Government Printing Office, Washington, D.C. 20402, April, 1978, pp. 37.**

7. Assessment

Forty per cent of the grade will be based on a "post-test" or Final Exam.* Sixty per cent of the grade will be based on written and oral work developed and produced during the term.

The work to be assessed during the term consists of:

1. a quiz on the materials in unit a = 10%
2. written exercises on the materials in unit b = 10%
3. development and presentation of a speech (Unit c) = 10%
4. development and production of a highlight memoranda, and an alternatives paper relating to public agency policies, practices or processes (unit d)= 15%
5. completion of flowchart(s) (unit e)= 5%
6. a quiz on the material in unit f= 10%

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* In addition, credit will also be given in the final grade for the degree of growth and progress during the semester (1 point added for each 10 points of growth, based upon pre/posttest scores) and 1 to 4 points will be added for exceptional class participation, at the discretion of the instructor.

Rev. 6/78

TPU's and Components

Competence-based Area 3
"Communicating Public Agency Policies, Plans and Practices

TPU (a) Ability to understand the structure and function of communication links within a public agency.

Component 1: To be able to identify the complex network of channels through which information may flow in a public agency.

Component 2: To be able to identify how the structure and function of communication links in a public agency can influence patterns of executive control and administrative power.

Component 3: To be able to recognize blockages in the communication network in a public agency which result in barriers to the initiation, transmission and/or reception of messages.

TPU (b) Ability to identify component parts and various types of statements (e.g., hypotheses, supporting arguments, etc.) found in informational documents of public agencies and related public policy statements.

Component 1: To be able to identify component parts and various statement types in informational documents dealing with public agency processes, practices and policies.

Component 2: To be able to identify component parts and various types of statements found in public documents.

TPU (c) Ability to focus the content and style of oral presentations (dealing with public agency programs, policies or activites) so that they are congruent with a specified public agency audience.

Component 1: To be able to focus the content of oral presentations on public agency programs, policies or activities so that they are congruent with a specified public agency audience.

Component 2: To be able to focus the style of oral presentations on public agency programs, policies or activities so that they are congruent with a specified public agency audience.

TPU (d) Ability to use a variety of professional formats (e.g., highlight memoranda) for the presentation of analyses and recommendations concerning public agency plans, policies and practices.

Component 1: To be able to develop and produce a highlight memorandum (or part of one) on material concerning public agency plans, policies and practices.

* Component 2: To be able to develop and produce an alternatives paper concerning public agency plans, policies and practices.

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* Although omitted from pre/post, an in-semester evaluation (worth 15% of course grade) assesses student ability in this area.

TPU (e) Ability to demonstrate flow-charting skills which clearly and accurately represent public agency processes, future goals and work in progress.

Component 1: To be able to analyze a flow-chart that represents public agency processes, work in progress and future goals.

Component 2: To be able to aid in the production of a flow-chart that clearly and accurately represents public patterns.

TPU (f) Ability to identify various mechanisms to increase agency openness and accountability and appraise their respective strengths and weaknesses; ability to identify possible tensions which may exist between the need for public agency openness and the effective performance of the agency's legislatively-mandated function(s).

Component 1: To be able to identify the key provisions of the federal and state Freedom of Information Acts and the way they can be used to increase agency openness and accountability.

Component 2: To be able to recognize the theory and practice of "sunshine" laws and the way they can be used to increase the openness and accountability of public bodies.

Component 3: To be able to identify the problems involved in enforcing the provisions of Freedom of Information Acts.

Component 4: To be able to identify the problems involved in enforcing "sunshine" laws.

Component 5: To be able to identify possible tensions which may exist between the need for public agency openness and the effective performance of the agency's legislatively-mandated function(s).

CBA 3
TPU (b), components 1 and 2

Assessment Methods and Criteria

Method: Matching

Criteria: a. Students will be given a sample document on a public agency policy, practice or issue. They will recognize different types of statements which appear in it by matching each underlined and bracketed statement with a term that appropriately identifies or describes it.

b. Criteria for assessing the students will include:

1. Can students recognize different types of statements which appear in public documents - facts, value judgments, opinions, hypotheses, supporting statements, recommendations, and conclusions?

2. Can the students identify examples of each of the above elements in a public document?

Rev. 6/78
CBA 3
TPU (c), components 1 and 2

Assessment Methods and Criteria

Method: Videotape presentation and multiple choice

Criteria: a. Students are shown a videotape of a 3-5 minute speech on a public policy issue (e.g., the energy "crisis"). The style and content of each speech will be, for the most part, correct for the identified audience. In some cases, however, the style and content will be inappropriate. The students will be expected to identify instances where the content and style are appropriate and inappropriate for the given audience and give correct reasons for their choices.

b. For each videotaped speech, can the student determine the following:

1. Is the type of vocabulary congruent with the intended audience (e.g., use of professional terminology restricted to professional audiences)?

2. Is the speech sensitive to the values of the audience?

Rev. 6/78
CBA 3

TPU (d), component 1

Assessment Methods and Criteria

Method: Multiple choice

Criteria: a. The students will be given a fact sheet dealing with a public agency. The students read the fact sheet and a partially completed highlight memorandum based on it. Some of the major points and sub-ideas are left out of the memorandum. The students will be given several sets of ideas and sub-ideas. They will select the correct idea or sub-idea for each blank section of the memorandum.

b. Criteria for assessing the students include:

1. Do the students recognize major points which appear in a public agency document?
2. Do the students recognize the principal sub-ideas which are related to each major point?

Rev. 6/78
CBA 3

TPU (f), components 1-5

Assessment Methods and Criteria

Method: Multiple Choice

Criteria: a. The students are expected to answer multiple choice questions dealing with the basic provisions of the Freedom of Information Act and "Sunshine" laws, the rationale behind their enactment, problems involved in their enforcement, and possible tensions between agency openness and effective performance of legislatively-mandated functions.

b. Students are expected to:

1. identify correct provisions of the laws from sets of choices which include alternatives which are either stronger or weaker than the actual provisions (i.e., students are expected to demonstrate ability to recognize currect mechanisms for increasing public agency openness and accountability);

2. understand the reasoning behind the promulgation of these laws to the extent that students can correctly identify the rationales offered by their proponents from sets of alternatives which include grandiose and illogical rationales;

3. identify problems which may arise in their enforcement;

4. identify tensions between agency openness and efficient performance of mandated activities.

Rev. 6/78
CBA 3

TPU (e), components 1 and 2

Assessment Methods and Criteria

Method: Ranking and identify steps in a process.

Criteria: a. The student is shown a flow chart of an agency process. Some of the boxes have text, some are blank. The student is also given a list of steps that might be connected to the process; the list includes steps that are essential to the process and steps which are irrelevant at that point. The student must correctly identify the essential steps and place them in the boxes where they belong.

b. Criteria for judging students include:

1. Can the student distinguish between essential steps and optional or irrelevant items?

2. Can the student place a particular step in the correct location and relationship to other steps in the process?

Assessment Videos

The following description of the Assessment Videos briefly identifies some procedures and caveats in the development of video tapes for assessing the students communication abilities. (In conjunction with this description see the Assessment Methods and Criteria section for the pre/post test units (a) and (c).

CBA 3

TPU (a)

Assessment Videos

The third component of this TPU deals with identifying blockages to effective communication in public agencies. Three scripts were developed, each dealing with a particular public agency interaction in which there is a barrier to effective communiction; a particular message does not get transmitted or received properly. In each case, the public agency's ability to carry out its activities will probably suffer (to some degree) because of this communica failure.

Each script is between 1-2 pages in length. Each features two performers. In one, a public agency task fails to be carried out because a public administrator did not send written notification that the task had to be done. In a second script, a supervisor uses condescending language styles to a subordinate and then requests honest criticism from that subordinate; of course, she gets none. In the third, a language problem arises between an English speaking public agency employee and a Spanish-speaking client.

The first two scripts were actually made into videotapes. These deal with intra-agency communication blockages which are really at the heart of unit (a). The third script, which deals with agency-clientele communication blockages, might be used with great effectiveness in another CBA

The students watch the interaction on the video. In the pilot classes, they watched the interaction "Media Memo" which deals with insufficient communication. One employee in the Small Business Administration has to notify another to write a media spot. The employee tells her co-worker to write the spot but fails to follow up with a written memo identifying relevant procedures. The co-worker, who has never written such a spot before, waits for the memo before starting. End result? The spot does not get done.

The students answer questions based on this interaction. The questions test whether students can apply general concepts about public agency communication barriers to a specific case and whether they can make accurate inferences based on visual and auditory observation.

In constructing an assessment video, you may wish to ask:

1. Does the script present a dramatic interaction in a public agency? Do the actors speak lines which employees in a public agency might actually speak? Is the incident presented through the device of a dialogue between agency employees and not through static speeches or explanatory sentences that would not occur in an actual public agency conversation?

2. Is the interaction one where failure to have effective communication develops?

3. Can the student infer from the interaction what impact this failure of communication will have on the agency's ability to perform its legislatively-mandated functions? The failure should not be stated. It should develop from the situation. In "Media Memo" no one says, "Oh dear, there is insufficient written communication here!" The students infer this from the drama.

TPU (c)

This TPU deals with developing abilities in relation to the development of oral presentations. One of these abilities is the skill to know how to alter style and content so that they are congruent with the audience to whom the speech is delivered.

The three TPU (c) videotapes present short speeches (2-3pp. scripts) given by a public agency administrator on the topic of energy policy. One is delivered to a seventh grade class, one to a consumers group and the third to a state legislative committee. The students are informed of the audience before they watch each speech.

Before the videos are "shot", a script is written. The scripts are written so that, in general, the style and content are congruent with the particular audience to which each will be given. However, in each speech, several errors of style and/or content are purposely inserted. For example, in the speech to the consumer group, several scientific terms (e.g., photovoltaic conversion) are used without any definitions being given. The actor presents each speech "deadpan," that is, no visual or auditory clues are given when an error occurs.

After viewing a given speech, students are asked questions which test whether they can identify the appropriateness of stylistic and/or factual components in relation to the particular audience. For example, a question pulls a phrase out of a particular speech and asks the students whether this phrase is appropriate. Students must not only identify whether a given phrase is appropriate but why. A phrase which is appropriate in one speech may be inappropriate in another speech that is delivered before a very different audience.

In constructing these speeches, a policy area must first be identified. Then three different audiences must be identified. Scripts should be written that are, in general, reflective of accurate style and content for the particular audience. Errors of style and content should not be so glaring that they would be errors in any context. (If they are the glaring, the purpose of the exercise is defeated.) Before showing the videos to students, have the scripts read to colleagues who may be able to spot instances of glaring errors or instances where what one person thinks is a very subtle error may seem appropriate to another competent individual.

Rev. 6 /78 Spring '78
CBA 3

Theory/Practice Curriculum in Public Administration

Student's Name (Last, First) ______

Testing Instrument CBA 3 TPU (a)
Senario #2 Component 1, 2 & 3

____Fall 19____ Pre-test____ Post-test____

____Spring 19____

____Summer Term 19____

Instructions

"The Media Memo" #2

After watching the videotape, read the following questions. Identify the best answer by filling in the appropriate space on the answer sheet.

1. Which of the following is an example of a public agency communication?

   (a) The official Small Business Administration notices concerning loans.
   (b) The written memoranda Loretta generally receives.
   (c) Margaret's conversation with Loretta relating to the media notice.
   (d) (a) and (b)
   (e) (a), (b) and (c)

2. Many writers on public administration consider face-to-face communication the most effective way to transmit a message. The interaction between Loretta and Margaret most clearly demonstrates

   (a) that face-to-face communication is effective in internal agency communication systems.
   (b) that face-to-face communication is ineffective in situations involving self-protection of the initiator.
   (c) that feedback is not always adequate even in face-to-face communication
   (d) that agency-client communications are most appropriate for face-to-face communications
   (e) that the public agency administrator who actually performs a given task must initiate face-to-face communication with a vacation replacement.

3. Margaret's request that Loretta be responsible for the media memo and Loretta's agreement to do this is an example of

   (a) formal communication because the memo deals with the agency's legislatively mandated activities
   (b) formal communication because Loretta's written memo will eventually be distributed widely to the agency's constituencies and will be placed in the agency's official files
   (c) informal communication because Loretta has not yet written the media memo and it has not been authorized as an official presentation by the formal hierarchy
   (d) informal comunication because the conversation is oral and the channel is not explicitly authorized by the formal hierarchy
   (e) formal communication by Margaret because she is initiating a request related to the agency's mandated activities, but informal communication by Loretta because she does not act in conformance with the agency's mandate.

Rev. 6/78
TPU (a), component 1, 2 & 3 cont'd.
Pre/Post-test

[Senario #2]

4. Agency communication patterns influence organizational decision-making. In the tape you just saw, a problem arose because

   (a) communications did not flow to the decision center to provide the basis for deciding who would write the memo
   (b) communications did not flow at all from the decision center to the members of the organization whose cooperation had to be secured in order to effect the decision
   (c) communication was inadequate from the decision center to the members of the organization whose cooperation had to be secured in order to effect the decision
   (d) (a) and (b)
   (e) (a) and (c)

5. The tape you just viewed suggests that Margaret's reliance on oral communication without written follow-up in new or unexpected situationsis likely to

   (a) diminish her authority
   (b) increase her authority
   (c) diminish her effective control over other employees' actions
   (d) increase her effective control over other employees' actions
   (e) have little if any influence on her authority or effective control

6. Loretta did not write the media notice due to

   (a) insufficient communication by Margaret.
   (b) excessive communication by Margaret.
   (c) status distance between Joe and Loretta.
   (d) deliberate restriction on communication by Margaret.

7. Loretta's initial denial of knowledge about the media notice can best be defined as an example of

   (a) deliberate restriction on communication
   (b) inadequacy of communication techniques
   (c) selective retention
   (d) selective exposure

8. What is the most likely consequence of Margaret and Loretta's conversation?

   (a) Margaret will probably not use a memo for communications that she feels are unimportant.
   (b) Margaret will use memos for all communications from now on.
   (c) Joe's media memo will not get written.
   (d) Loretta will now complete all further agency assignments without written notification.
   (e) When one staff member has a vacation, his assignment will not be given to other agency personnel.

Rev. 6/78 Spring '78

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 3-TPU (c)
Speech #2 Components 1 & 2

____Fall 19____

Pre-test____ Post-test____

____Spring 19____

____Summer 19____

Instructions

Listen carefully to the entire speech. The style and content of the speech are, for the most part, correct for a specific audience. In some cases, the speaker may have made mistakes. In questions 2 through 9, you will decide whether a given part of the speech was appropriate or inappropriate for an intended audience and why.

After listening to the speech, read the questions below. Identify the best answer by filling in the appropriate space on the answer sheet.

---

9. The description of "direct wind power" was
   (a) appropriate because the speaker defined the phrase in terms which could be understood by a lay audience.
   (b) inappropriate because the speaker defined the phrase in terms which were meaningful to a lay audience.
   (c) appropriate because the speaker did not define the phrase at all.
   (d) appropriate because the speaker defined the phrase in terms which were meaningful to an audience with a scientific background.

10. The use of terms "grid", "kwh", "amortizing capital", and "photo-valtic conversion" was
   (a) inappropriate because the terms were defined for an audience with a scientific background.
   (b) inappropriate because the speaker did not define the terms at all.
   (c) appropriate because the audience consisted of professionals who could be expected to be familiar with them.
   (d) appropriate because the speaker gave clear, concise definitions which the lay audience could understand.

11. This speech was intended for a group called Consumers for a Better America. The background and interests of this audience most likely consist of
   (a) advanced degrees in science, high level of technical vocabulary, knowledge of statistics, interest in the topic.
   (b) varied reading and writing abilities, short attention span, low level of comprehension and little interest in the topic.
   (c) college education, politically sophisticated, extensive background in energy policy formation, high-level government backgrounds.
   (d) most members have completed high school, or some college, concern with and interest in energy policy.

12. The treatment of the beliefs and values of the audience was
    (a) appropriate because the speakerconsistently respected them.
    (b) inappropriate because the speaker was too conscious of them.
    (c) inappropriate because the speaker alternately insulted and lectured the audience.
    (d) appropriate because the speaker told the audience things which it did not want to hear but needed to know.

Rev. 6/78

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument #CBA 3 - TPU (b)
Components 1 and 2

________ Fall 19_____

Pre-test _______ Post-test ________

________ Spring 19_____

________ Summer Term 19_______

INSTRUCTIONS

In the attached document, part of a letter to Governor Rockefeller from Senator John H. Hughes, Chairman of the New York State Legislative Committee on Crime, several types of statements or parts of statements used in public agency documents have been underlined, bracketed and numbered. Below are sets of terms, numbered to correspond to the statements. Select the answer in each set which correctly identifies the underlined and bracketed statement. Mark the best answer by filling in the appropriate space on the answer sheet.

---

13. (a) value judgment
    (b) fact
    (c) hypothesis
    (d) supporting argument
    (e) none of the above

14. (a) hypothesis
    (b) conclusion
    (c) fact
    (d) opinion
    (e) none of the above

15. (a) opinion
    (b) value judgment
    (c) recommendations
    (d) hypothesis
    (e) none of the above

16. (a) hypothesis
    (b) recommendations
    (c) supporting arguments
    (d) fact
    (e) none of the above

17. (a) opinion
    (b) supporting evidence
    (c) hypothesis
    (d) recommendations
    (e) none of the above

18. (a) value judgment
    (b) opinion
    (c) hypothesis
    (d) supporting arguments
    (e) none of the above

CBA 3-TPU (b) attachment
Pre/Post-test

M[illegible] of Committee
John H. Hughes
Chairman
John T. Gallagher
Vice-Chairman
Nicholas Ferraro
Secretary

• • •

Abraham Bernstein
John D. Calandra
Arthur O. Eve
John T. Flack
Emanuel Gold
Ralph J. Marino
Thomas F. McGowan
S. William Rosenberg
Ronald H. Tills

• • •

Ex-Officio Members
Earl W. Brydges,
Majority Leader of Senate
Joseph Zaretzki,
Minority Leader of Senate
Perry B. Duryea, Jr.,
Speaker of Assembly
John E. Kingston,
Majority Leader of Assembly
Stanley Steingut,
[illegible]rity Leader of Assembly
W[illegible] M. Anderson,
Chairman of Finance
Committee of Senate
Willis H. Stephens,
Chairman of Ways & Means
Committee of Assembly

NEW YORK STATE
JOINT LEGISLATIVE COMMITTEE ON CRIME
ITS CAUSES, CONTROL & EFFECT ON SOCIETY
114 South Warren Street
Syracuse, New York 13202
Area Code 315 422-0155

Edward J. McLaughlin
General Counsel

Ref. ____________

JANUARY 14, 1972

GOVERNOR NELSON A. ROCKEFELLER
Executive Chambers
The Capitol
Albany, New York 12227

Dear Governor Rockefeller:

⑬ [It has recently come to my attention that as of Tuesday, January 11, 1972, more than 85 bills have been introduced before the Legislature dealing with prisoners' rights, parole, sentencing and prison facilities.] It is also my understanding that you intend to submit legislation on similar subjects to the Legislature during its 1972 Session.

⑭ In view of the volume of legislation on this single subject [I felt it wise to give you the benefit of the research of the Joint Legislative Committee On Crime] which has been conducted over the past year and a half, on the subject of the attitude of the convicts now detained in the prisons of New York State.

Beginning well before the disturbance at Attica Prison, that is, in September of 1970, the Joint Legislative Committee On Crime, in an effort to round out its investigations into the status of the criminal justice system, undertook an extensive program of convict interview. To my knowledge, the interview program of the Committee was the most ambitious such project ever conducted in this state.

⑮ [The results of this work revealed that approximately 25% of the prisoners presently confined in our state prisons believe that they are in prison as a direct result of the failures of our criminal justice system.] Follow-up investigations by the staff of the Committee indicated that there was a sound basis for these beliefs.

CBA 3 - TPU (b) attachment cont'd.
re/Post-test

Until such time as the criminal justice system in New York State improves its present chaotic condition, it is my considered judgment that no amount of money spent to improve the physical facilities of the prisons, or the food, or the standards of training of correctional officers, will have any measurable effect upon this significant portion of our total prison population. The work of the Committee establishes beyond cavil that prison reform must begin in the courts.

16. The investigations by the Committee consisted of personal interviews and questionnaires in prisons located at Sing Sing, Green Haven, Attica and Auburn. The results of these interviews are contained in 60 hours of recorded tapes and 533 detailed questionnaires completed out of the 600 questionnaires distributed.

An analysis of this data reveals that 11% of the prisoners have reason to believe that they are presently in prison for the reason that they pleaded guilty to crimes upon a promise from the court that either they would not be sentenced to state prison or if so sentenced would receive a term of confinement substantially less than actually imposed. These promises were, in fact, broken. In addition, 6% of the prisoners surveyed indicated that their sentences to state prison were a direct result of a decision made by their defense counsel (frequently assigned) that the counsel was either unwilling or unable to spend sufficient time upon their defense to prepare for trial. 17 These prisoners believe that for this reason, they were denied any meaningful opportunity to offer a defense to the crime charged.

Other prisoners maintained that the conditions in the places of pre-trial detention were so arduous that they had no alternative but to enter pleas of guilty in order to relieve themselves of what was an intolerable situation. 18 Examples of such conditions range from the deterioration of the physical facilities of the places of detention to a policy of scheduling reluctant defendants to appear in court on nearly a daily basis and that these scheduled appearances were arranged in such a way as to effectively deprive them of an opportunity to see visitors and of all but the mid-day meal.

Rev. 6/78 Spring '78

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 3 - TPU (d)
Component 1

____Fall 19____

Pre- test______

Post-test______

____Spring 19____

____Summer Term 19____

INSTRUCTIONS

Attached to this exam are portions of a Manpower & Career Development Agency (MCDA) Fact Sheet. Read the Fact Sheet. Then look at the incomplete highlight memorandum below which is based upon the Fact Sheet. Each of the questions on the next page lists five major ideas or sub-ideas which can be used to fill a blank space in the memorandum. Identify the correct major idea or sub-idea by selecting the correct item for each blank space in the memorandum which is identified by a number.

Highlight Memorandum Based Upon MCDA Fact Sheet

Topic: Specific MCDA Training Programs.

* 1000 trained by District 35, Retail, Wholesale & Department Store Union.
* 750 trained by Basic Office Practice Program
* 1000 trained by Public Service Careers Program
* ①
* 329 Trained by Jobs Program of National Alliance of Businessmen.

Topic: ②

* 85,000 served by Neighborhood Manpower Service Centers
* 46,000 Served by Neighborhood Youth Corp.
* 2,800 screened by Jobs Corp.
* 1,000 trained by Regional Industrial Training Association (RITA).

Topic: ③

* Map of N.Y.C. Regional Manpower System.
* Diagram showing centers in Regional Manpower System
* ④
* Diagram showing participation of Community Corporations in the Opportunity Centers System.

19. The phrase that belongs in the space labelled ① is:

    a. MCDA is proud of its training program.
    b. 25% had been on welfare
    c. Earning a total of $4.5 million per year.
    d. 100 trained by Stock Exchange Program.
    e. Use of federal & city funds.

20. The major idea that belongs in the space labelled ② is:

    a. The public Service Career Program.
    b. 30,000 were referred immediately to jobs and 28,180 were hired.
    c. 1968 Achievements
    d. 12,977 Chinese
    e. Neighborhood Service Centers

21. The major idea that belongs in the space labelled ③ is:

    a. New York City
    b. Map of New York City
    c. Exhibits
    d. Richmond Poverty Area
    e. Business Practices

22. The phrase that belongs in the spaced labelled ④ is:

    a. Diagram showing Opportunity Centers
    b. Diagram of Regional Manpower System Program.
    c. Regional offices of opportunity centers
    d. Social Service Centers
    e. Other diagrams.

Pre/Post-test
CBA 3 - TPU (d)
Component 1
Attachment

MCDA

MANPOWER and CAREER DEVELOPMENT AGENCY

FACT SHEET

Cyril Tyson
Commissioner, MCDA

Mitchell I. Ginsberg
Administrator, HRA

John V. Lindsay
Mayor

For the current fiscal year, MCDA is receiving $34 million in Federal funds from the U.S. Department of Labor and $20.2 million in City funds, of which $12.2 million is from the Expense Budget and $8 million is from the Capital Budget. MCDA is also anticipating an additional $9 million in Capital Budget funds this year.

The expenditure of Capital Budget funds for manpower development is unique in the City's history. These funds are being allocated to us under a new principle that it is at least as important to make long-range capital investments in people as in buildings or machines.

SPECIFIC PROGRAMS

MCDA is proud of its training programs.

In the past year, District 65 of the Retail, Wholesale and Department Store Union, under a $1.2 million contract with MCDA, trained 1,000 persons. They are now earning a minimum of $90 a week. Twenty-five percent, or 250 persons, had beenon welfare when they began their training. Today, they are off welfare and are making a contribution to society. The 1,000 enrollees, whose training cost an average of $1,000 each, are now earning a total income of $4.5 million a year.

The same kind of success can be told about our other training programs, including the Basic Office Practice Program, which for $351,700 has trained 750 welfare recipients to work as clerks, secretaries and typists. All of the 683 graduates--most of them mothers of welfare children--had been on welfare. All have been hired. Today, they are making $85 and up working for companies like First National City Bank, Union Carbide and AT&T. The welfare payments they had been receiving amounted to about $2 million a year--an amount that has been substantially reduced.

Another key MCDA project is the Public Service Careers Program, which provides intensive training for welfare recipients, unemployed persons and the underemployed, and then guarentees them jobs in our City's critically short-staffed agencies. During 1968, with Federal and city funds, more than 1,000 low-income people were trained as nurses aides in the Health Service Administration, case aides in the Department of Social Services and educational aides in the public schools. About 160 are now studying for Associate Degrees in community colleges. Every participant can look forward to continued educational and career opportunities.

Pre/Post-test
MCDA - Manpower and Career Development Agency (cont'd.)
CBA 3 - TPU (d), component 1

MCDA also sponsors the Stock Exchange Program, where 100 young adults completed 6-month training and are now full-time Exchange employees earning an average of $90 a week. Another 100 persons are currently enrolled in the program.

During 1968, MCDA also participated with the private sector in the Jobs Program of the National Alliance of Businessmen (NAB). Since September, 1968, MCDA placed 329 persons under the Jobs Program. During the summer, 3,000 persons were placed.

1968 ACHIEVMENTS

During 1968, more than 85,000 poverty area residents were served by MCDA's network of 20 Neighborhood Manpower Service Centers and numerous training programs. About 35 percent of the total was on welfare. Of the 85,000:

> 30,000 were referred immediately to jobs and 28,150 were hired.
>
> 10,000 were enrolled in skills training and special education courses and were employed upon graduation.
>
> Most of the remaining 45,000 are waiting for openings in the limited number of available training programs.
>
> An additional 910 persons were hired through the federally supported On-The-Job Training Program.

The composition of the population served was 49,211 black, 22,812 Spanish-speaking, and 12,977 Chinese, white, etc.

Our Neighborhood Youth Corps program involved a peak of 46,000 ghetto youths during the summer. Year-round, the Youth Corps provided work experience for 7,000 teenagers through 4,500 in school and out of school slots. More than 100 of these youths have gone on to college through the efforts of the NYC College Careers program.

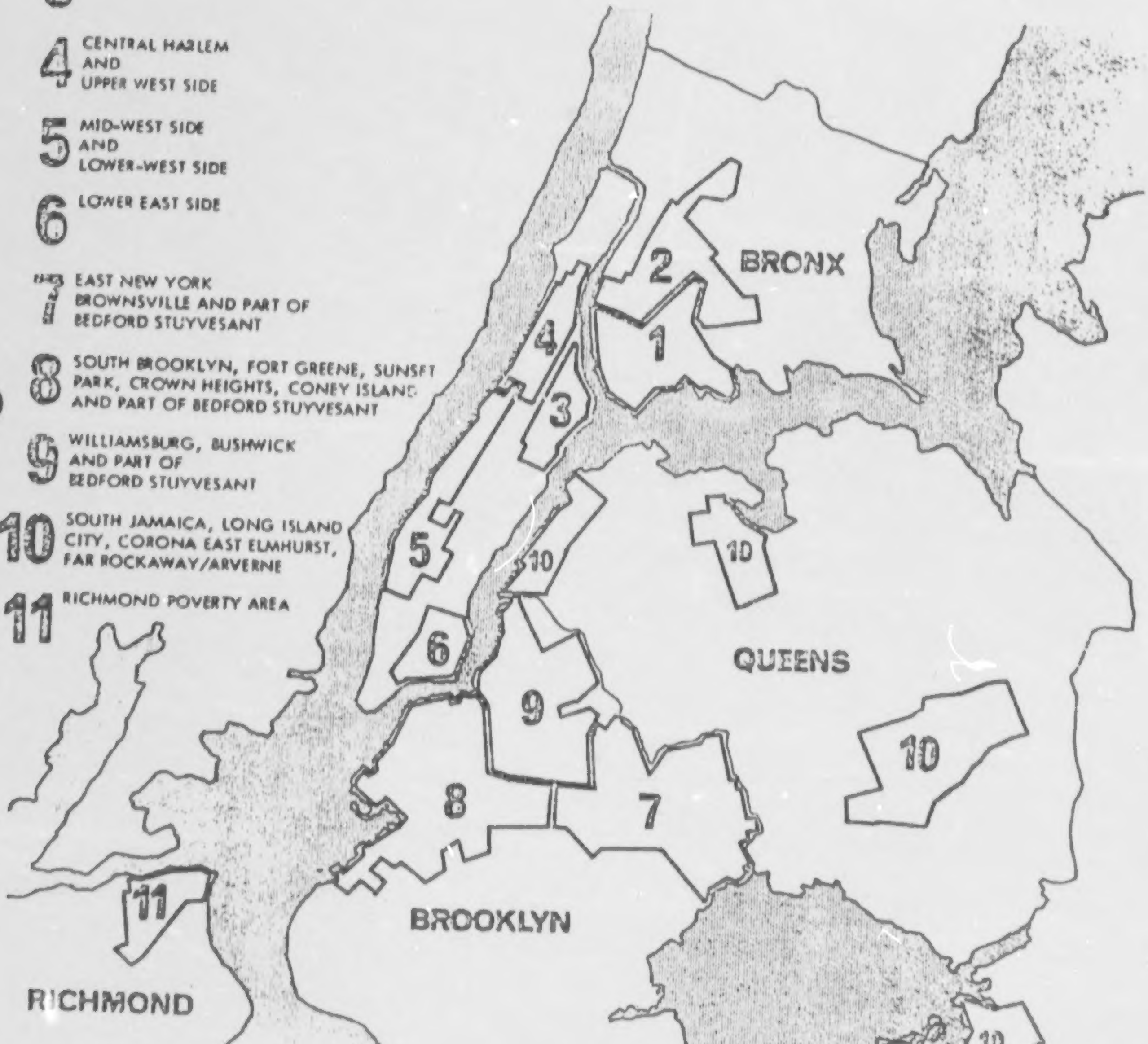
MCDA also successfully recruited and screened 2,800 ghetto youths for Job Corps openings allocated to New York City.

Another 1,000 men graduated from a truck driver training program administered by RITA. Average starting salaries in this industry are $125 a week.

Pre/Post-test (7)
MCDA - Manpower and Career Development Agency (cont'd.)
CBA 3 - TPU (d), component 1

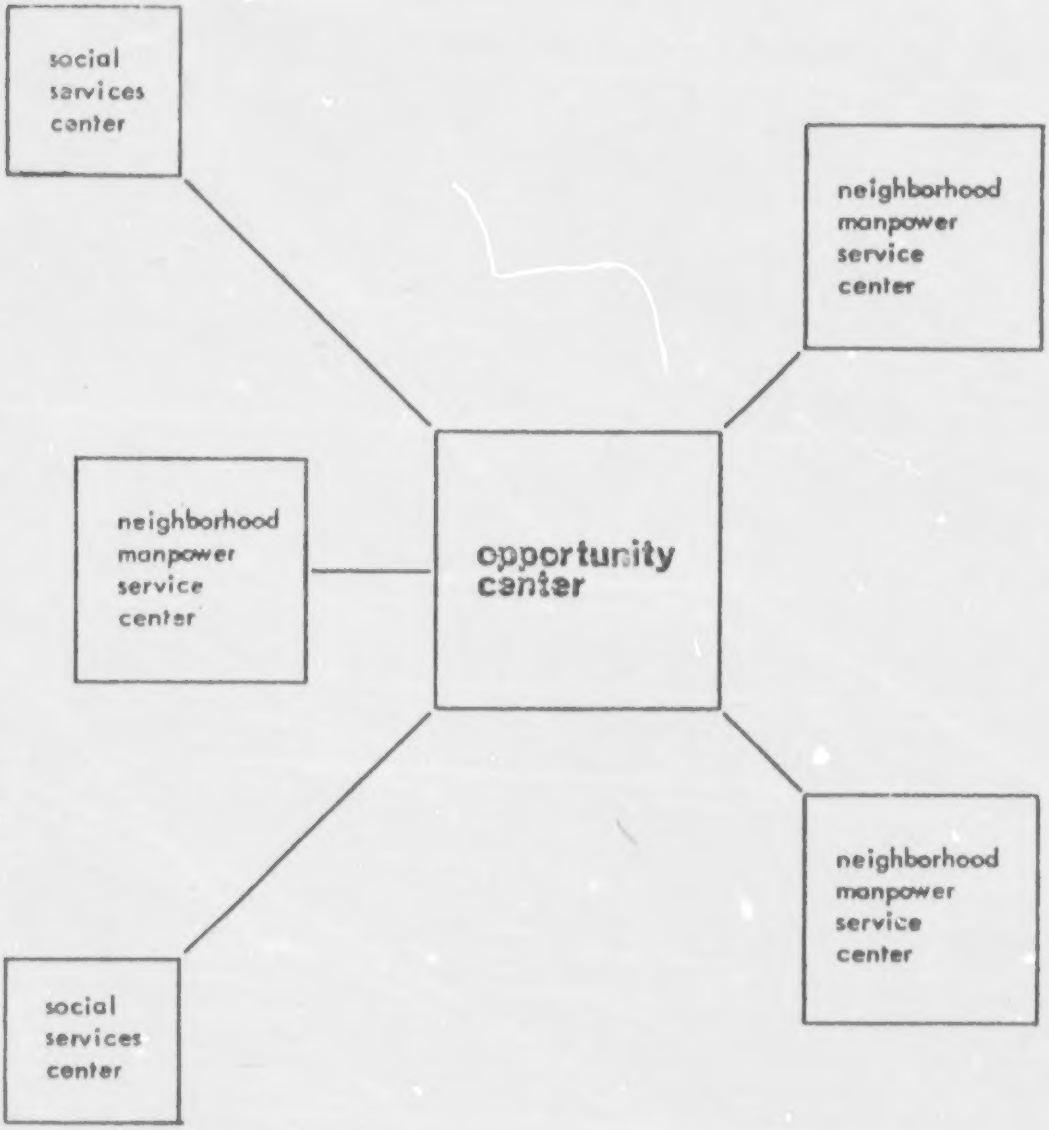
NEW YORK CITY OPPORTUNITY CENTERS SYSTEM REGIONAL MANPOWER SYSTEMS

1 SOUTH BRONX AND HUNTS POINT
2 MORRISANIA TREMONT AND MORRIS PARK
3 EAST HARLEM
4 CENTRAL HARLEM AND UPPER WEST SIDE
5 MID-WEST SIDE AND LOWER-WEST SIDE
6 LOWER EAST SIDE
7 EAST NEW YORK BROWNSVILLE AND PART OF BEDFORD STUYVESANT
8 SOUTH BROOKLYN, FORT GREENE, SUNSET PARK, CROWN HEIGHTS, CONEY ISLAND AND PART OF BEDFORD STUYVESANT
9 WILLIAMSBURG, BUSHWICK AND PART OF BEDFORD STUYVESANT
10 SOUTH JAMAICA, LONG ISLAND CITY, CORONA EAST ELMHURST, FAR ROCKAWAY/ARVERNE
11 RICHMOND POVERTY AREA



Pre/Post-test
MCDA - Manpower and Career Development Agency (cont'd.)
CBA 3 - TPU (d), component 1

REGIONAL MANPOWER SYSTEM


social services center
neighborhood manpower service center
neighborhood manpower service center
opportunity center
neighborhood manpower service center
social services center

REGIONAL MANPOWER SYSTEM PROGRAM

social services centers

program

- INTAKE AND SOCIAL SERVICES
  - referral to DER unit
- DER EMPLOYMENT SERVICES
- VOCATIONAL COUNSELING
- REFERRAL AND PLACEMENT
  - jobs
  - on the job training
  - special training programs
  - job corps
  - referral to opportunity center
- SUPPORTIVE SERVICES
  - health services
  - legal services
  - vocational rehabilitation services
- CLIENT FOLLOW-UP

neighborhood manpower service centers

program

- OUTREACH
- INTAKE AND VOCATIONAL COUNSELING
- REFERRAL & PLACEMENT
  - jobs
  - on the job training
  - special training programs
  - job corps
  - referral to opportunity center
- SUPPORTIVE SERVICES
  - social services
  - vocational rehabilitation services
  - legal services
- CLIENT FOLLOW-UP
- PARTICIPATING AGENCIES
  - community corporations
  - manpower & career development agency
  - n.y. state division of vocational rehabilitation
  - n.y. state division of employment

opportunity center

program

- INTAKE
- TRAINEE ORIENTATION AND ASSESSMENT
- VOCATIONAL COUNSELING
- BASIC EDUCATION
- WORK EXPERIENCE
- PREVOCATIONAL TRAINING
- OCCUPATIONAL TRAINING
- PLACEMENT
  - on the job training
  - direct job placement
- TRAINEE FOLLOW-UP
- SUPPORTIVE SERVICES
  - health & vocational rehabilitation services
  - social services
  - legal services
  - educational child care

regional office

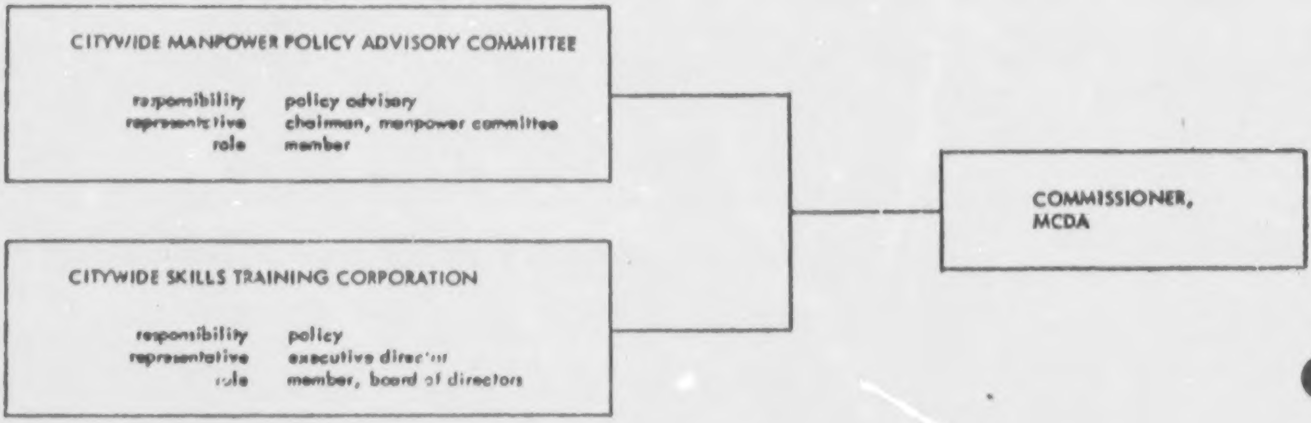
- MCDA
  - neighborhood manpower services
  - neighborhood youth corps
  - adult work experience programs
  - public service careers program
  - information control
- DEPARTMENT OF SOCIAL SERVICES
  - division of employment and rehabilitation
- N.Y. STATE DIVISION OF VOCATIONAL REHABILITATION
- N.Y. STATE DIVISION OF EMPLOYMENT

participating agencies

- MANPOWER AND CAREER DEVELOPMENT AGENCY
- DEPARTMENT OF SOCIAL SERVICES
- N.Y. STATE DIVISION OF VOCATIONAL REHABILITATION
- N.Y. STATE DIVISION OF EMPLOYMENT
  - State Employment Service
- COMMUNITY CORPORATIONS

PARTICIPATION OF COMMUNITY CORPORATIONS IN THE OPPORTUNITY CENTERS SYSTEM

citywide responsibilities



CITYWIDE MANPOWER POLICY ADVISORY COMMITTEE

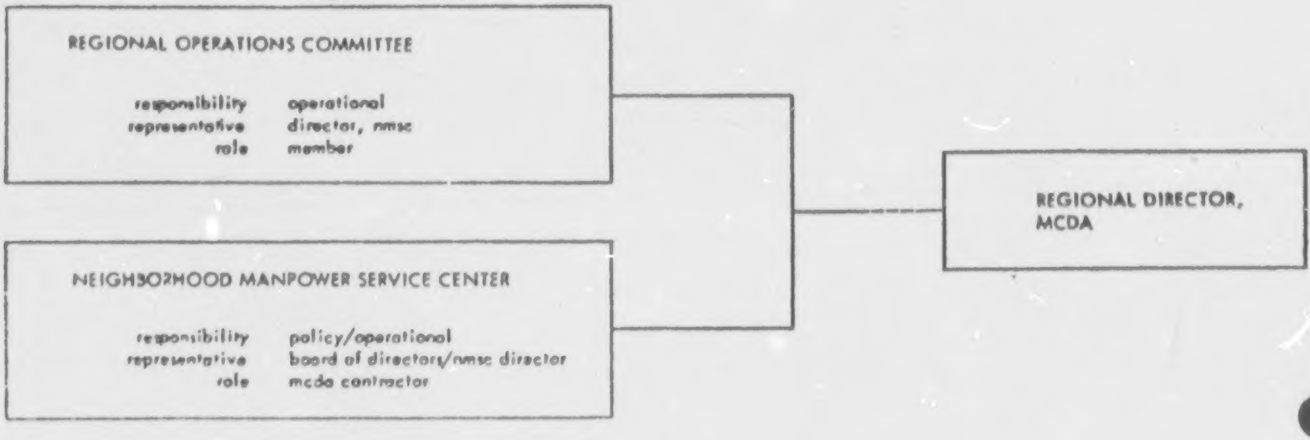
responsibility policy advisory
representative chairman, manpower committee
role member

CITYWIDE SKILLS TRAINING CORPORATION

responsibility policy
representative executive director
role member, board of directors

COMMISSIONER, MCDA

regional responsibilities



REGIONAL OPERATIONS COMMITTEE

responsibility operational
representative director, nmsc
role member

NEIGHBORHOOD MANPOWER SERVICE CENTER

responsibility policy/operational
representative board of directors/nmsc director
role mcda contractor

REGIONAL DIRECTOR, MCDA

Rev. 6/78

Theory/Practice Curriculum in Public Administration

Student's Name (Last, First) ____________________ Testing Instrument #CBA 3-TPU (e)
Components 1 and 2

____ Fall 19____ Pre-test ____ Post-test ____

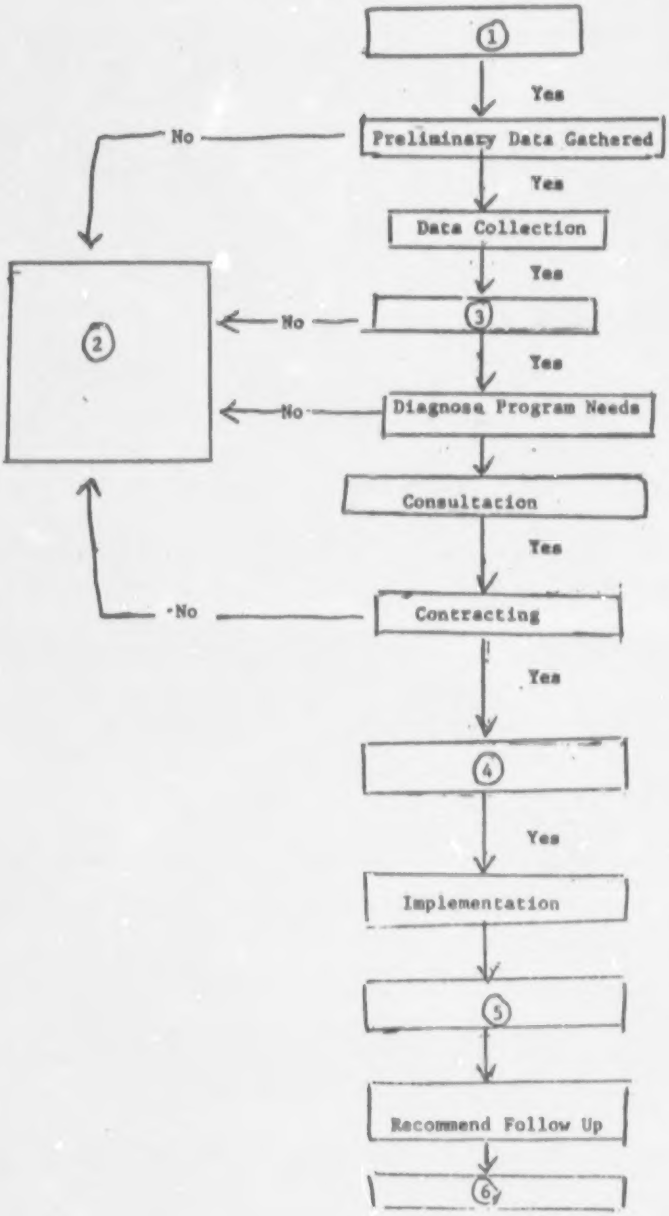
____ Spring 19____

____ Summer Term 19____

INSTRUCTIONS

Below is a model of a public agency training cycle. Some of the steps in the cycle are labelled. For each blank box, select the correct step from the choices listed on the following page. Fill in the correct letter on the answer sheet.

Bingham Transportation Administration Training Cycle


①
Yes
No
Preliminary Data Gathered
Yes
Data Collection
Yes
②
No
③
Yes
No
Diagnose Program Needs
Consultation
Yes
No
Contracting
Yes
④
Yes
Implementation
⑤
Recommend Follow Up
⑥

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Pre/Post-test
CBA 3 - Unit (a) cont'd
Component 1 and 2

23. The correct label for box ① is:
    a) Training request
    b) Check follow-up
    c) Evaluate
    d) Request denied
    e) Agency created

24. The correct label for box ② is:
    a) Training request
    b) Statute promulgated
    c) New staff appointments
    d) Request returns to training director
    e) Check follow-up

25. The correct label for box ③ is:
    a) Training request
    b) Need for data
    c) Check follow-up
    d) Analyze data
    e) Request returns to training director

26. The correct label for box ④ is:
    a) Submit design
    b) New staff appointments
    c) Check follow-up
    d) Returns to training director
    e) Request denied

27. The correct label for box ⑤ is:
    a) Check follow-up
    b) Training request denied
    c) Evaluate
    d) Training request
    e) Submit design

28. The correct label for box ⑥ is:
    a) Training request denied
    b) Check follow-up
    c) New staff appointments
    d) Training request
    e) Returns to training director

Rev. 6/78

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument #CBA 3-TPU (f)
Components 1, 2, 3, 4 & 5

____ Fall 19____

Pre-test ____ Post-test ____

____ Spring 19____

____ Summer Term 19____

INSTRUCTIONS

Identify the best answer by filling in the appropriate space on the answer sheet.

29. The 1975 amendments to the federal Freedom of Information Act-
    (a) were the first to permit loopholes which allow agencies to stall inquiries
    (b) were supported by the President and almost all government agencies.
    (c) radically altered the 1966 law.
    (d) closed some loopholes used by public agencies but left others open.

30. Which of the following is not a provision of the Freedom of Information Act as amended in 1975?
    (a) The President cannot use executive privilege to withhold information.
    (b) Public agencies must reply to a request for information within 10 days.
    (c) Public officials who withhold information illegally may be punished.
    (d) Public agencies must limit search and copying fees to actual costs.

31. The New York State "sunshine" law opens most meetings of government bodies to the public. The law defines meeting as
    (a) any convening of a public body for the purpose of transacting public business.
    (b) any work session, planning session or convening of a public body for the purpose of transacting public business.
    (c) any discussion by members of a public body on any aspect of public business at any time or place.
    (d) the formal convening of a public body for the purpose of officially transacting the public business.

32. The intended purpose of the "sunshine" act is to:

(a) completely eliminate secrecy from a democratic society.
(b) ensure that public business is performed in an open and public manner.
(c) allow examination of personal records, such as income tax forms, by any interested party.
(d) create a standard of secrecy for matters of national security.

33. There are several difficulties with the enforcement of Freedom of Information Acts. These include:

(a) The laws do not always specify clearly which meetings are open.
(b) Agencies sometimes misinterpret the law as it applies to them.
(c) Federal Agencies have no specific time limit within which they must reply to a request for information.
(d) (a) & (b)
(e) (a), (b) & (c)

34. Which meetings a given sunshine law opens

(a) is always readily understood
(b) is always understood by administrators
(c) is not a political, legal or social issue
(d) is not always clear from the law itself and is, currently the subject of court cases
(e) can always be ascertained through reading the legislative minutes of the given state assembly

35. Openness can interfere with the performance of mandated activities in public agencies. Which of the following is (are) possible examples of such interference?

(a) Agencies will spend time working on requests for old information and not on new ways to be more efficient in the future
(b) Public disclosure of bargaining can affect the outcome of negotiation or collective bargaining situations.
(c) Publicity about internal agency deliberations may make administrators afraid to speak freely about controversial matters
(d) (a), (b) and (c)
(e) none of the above

36. Opponents of strong Freedom of Information & Sunshine laws offer a number of arguments against expanding the provisions of these laws. Which of the following is one such argument?

(a) Withholding information by governments is in direct conflict with democratic decision-making principles.
(b) Observing a public agency process can impede the process itself.
(c) Lack of access to factual information from public agencies closes off public debate and public criticism.
(d) Without such laws, agencies could stall a request for information until it was no longer needed or until it was too late to use the information.

Rev. 6/78
CBA 3 - TPU (a), components 1, 2, & 3
Pre/Post-test

Answer Key Source

1. e---------------Simon, pp. 179-180
2. c---------------Simon, p. 182 & Project Videotape "Media Memo" Scenario #2
3. d---------------Simon, pp 179-180 & Project Videotape
4. c---------------Simon, p. 178 & Project Videotape
5. c---------------Project videotape
6. a---------------Simon, p. 182 and Project videotape
7. c---------------Glossary of Terms
8. a---------------Project videotape

Rev. 6/78
CBA 3 - TPU (c), components 1 and 2
Pre/Post-test

Answer Key	Source
9. a	Project videotape, TPU (c), Speech #2
10. b	" " TPU (c), Speech #2
11. d	Class discussions
12. c	Project videotape, TPU (c) Speech #2

Rev. 6/78
CBA 3 - TPU (b), components 1 and 2
Pre/Post test

Answer Key		Source
13.	b	Letter to Gov. Rockefeller, p. 1. (refer to Pre/Post)
14.	d	" " " p. 1. (refer to Pre/Post)
15.	e	" " " p. 1. (refer to Pre/Post)
16.	d	" " " p. 2. (refer to Pre/Post)
17.	a	" " " p. 2. (refer to Pre/Post)
18.	d	" " " p. 2. (refer to Pre/Post)

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CBA 3 - TPU (d), component 1
Pre/Post-test

Answer Key	Source
19. d	MCDA. Fact Sheet, p. 5 and In-House Agency Formats, Part II, pp. 1-5
20. c	MCDA, Fact Sheet, p. 5
21. c	" " " pp. 7-10
22. b	" " " p. 9

Rev. 6/78
CBA 3 - TPU (e), components 1 and 2
Pre/Post-test

Answer Key	Source
23. a	A.S.A. Training Cycle Flowchart
24. d	" " " "
25. d	" " " "
26. a	" " " "
27. c	" " " "
28. b	" " " "

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CBA 3 - TPU (f), Component 1, 2, 3, 4 and 5
Pre/Post-test

Answer Key	Source
29. d	Porter
30. a	"
31. d	Goldman
32. b	Goldman; Bennis, p. 18
33. b	Porter; Cerra
34. d	Goldman
35. d	Bennis, pp. 19-21 and Emerson, p. 399
36. b	Bennis, pp. 19-21

CBA 3 — Spring '78

____
Student's Name

Unit (a) - In-Class Assessment

Select the best choice by filling in the appropriate letter on the answer sheet.

1. Which of the following is an example of a public agency communication?

   a. Authorized weekly report from the Police Information Department to the Chief of Police.
   b. Handwritten memo which a patrolman writes concerning his own sick leave.
   c. Lunch time conversation between two patrolmen where one tells the other how tough the new sergeant is.
   d. (a) and (b).
   e. (a), (b), and (c).

2. Informal communication systems supplement formal communication systems in public agencies, in part, because

   a. agency regulations specifically call for their installation once the personnel are actually hired.
   b. agency personnel often need and/or want more detailed and rapid information than the formal communication system provides.
   c. no actual, functioning agency meets all its objectives and the formal communication system has been designed for an agency that does.
   d. (a) and (b)
   e. (a), (b) and (c)

3. Margaret and Loretta are administrators in the Small Business Administration. Margaret asks Loretta to handle development of a report on loans to small businesses. (The person who generally handles this is on vacation.) Loretta says that she will write the report next week. Margaret's request that Loretta be responsible for the report and Loretta's agreement to do this is an example of

   a. formal communication because the report deals with the agency's legislatively mandated activities.
   b. formal communication because Loretta's written report will eventually be distributed widely to the agency's constituencies and will be placed in the agency's official files.
   c. informal communication because Loretta has not yet written the report and it has not been authorized as an official presentation by the formal hierarchy.
   d. informal communication because the conversation is oral and the channel is not explicitly authorized by the formal hierarchy.
   e. formal communication by Margaret because she is initiating a request related to the agency's mandated activities, but informal communication by Loretta because she does not act in conformance with the agency's mandate.

4. Bob Jones is a division head with an office right next to his bureau chief. He talks to the chief about agency work every day. Lynn Kramer is a division head with an office at a geographical distance from her bureau chief. Which of the following is the most accurate comparison of the problems Bob and Lynn will each have in communicating to the center?

a. Communication problems will probably be similar since Lynn can substitute written reports and telephone conversations for face-to-face communications.
b. Bob will probably have less difficulty communicating effectively since face-to-face communication permits extensive feedback.
c. Bob will probably have less difficulty communicating effectively since there is no need for feedback with face-to-face communication.
d. Lynn will probably have less difficulty communicating effectively since she will communicate less frequently.
e. Lynn will probably have less difficulty communicating effectively since she will not be bothered by the distractions of informal communication systems.

5. A Department of Social Services decides to delegate authority to process client applications from the casework supervisors to the individual social workers. This decision will most likely

a. increase flexibility and decrease uniformity of response.
b. increase flexibility and increase uniformity of response.
c. decrease flexibility and decrease uniformity of response.
d. decrease flexibility and increase uniformity of response.
e. decrease flexibility while uniformity of response remains constant.

6. A group of white people are shown a picture of a white man and a black man fighting on a train. The white man is holding a razor. In subsequent interviews, the people who saw the picture describe the white man as unarmed. This reaction can best be explained by making reference to:

a. deliberate restriction on communication
b. selective perception
c. status difference between communicator and audience
d. informal communication
e. (b) and (c)

7. The communication process is central to decision making in agencies because

a. the decision maker needs information on which to base his decision.
b. a decision must be communicated from the decision center to other members of the organization.
c. a given decision is the basis for future communication processes and channels.
d. (a) and (b)
e. (a) and (c)

8. In public agencies, communication blockages occur

a. during initiation of the message
b. during the transmission of information
c. at the point of reception
d. (a) and (b)
e. (a), (b) and (c)

____
Student's Name

Read the following paragraph. Answer question 9 based on the communication patterns described in it.

No minutes or notes are taken at a staff meeting held by a police captain and ten lieutenants. At the meeting, the captain outlines to the lieutenants the revised procedures to be followed by each shift of patrolmen. These procedures are then passed along by each lieutenant to the patrolmen assigned to him.

9 . Which of the following best characterizes the probable consequences of the communication pattern on the ability of the police station to carry out its legislatively-mandated activities?

a. The actions of each shift of patrolmen with regard to the revised procedures will be entirely uniform.
b. The patrolmen will discover all the nonuniformities in their understanding of the revised procedures through informal communication with each other.
c. The actions of the patrolmen with regard to the revised procedures will reflect somewhat different understandings of the procedures.
d. The procedures followed by the captain with regard to communicating the revised procedures are bound to contribute fully to the ability of the police station to carry out its mandated activities.
e. The mandated activities will be carried out in a more professional and innovative fashion because the procedures have been revised.

Spring '78

Rev. 2/78

CEA 3 - TPU (a)

In-Class Assessment

Answer Key

1. e
2. b
3. d
4. b
5. a
6. b
7. d
8. e
9. c

Rev., 2/78
CBA 3
Unit (b)-In-Class Assessment, Part 1

Student's Name____
(Please print)

Theory/Practice Curriculum in Public Administration Project

Unit (b), part 1

Spring, 1978

Instructions

Public administrators often have to extract and analyze information in a wide range of documents. The following questions are based on "Looking Forward: Introduction to Scenarios." Write the correct answer in the space below each question.

1. Identify three scenarios discussed in this report.

a.______________________________

b.______________________________

c.______________________________

2. In one scenario, the authors discuss "low nuclear" and "high nuclear" cases. This scenario is called the

______________________________.

3. The country can adopt any one of the three scenarios for regulating future energy use. Which scenario would bring the greatest changes in our lifestyle and "more is better" philosophy"?

____

4. The authors give seven basic policy decisions which have to be made i the near future if we are to implement one of the scenarios. This scenario is called the

____

5. Some public affairs documents support particular policies while others identify a number of alternatives and give a comparative analysis. What is the purpose of "Looking Forward: Introduction to Scenarios"? Does it support a particular alternative? If so, identify the alternative and the evidence which shows that the authors support this alternative. If not, explain what evidence in the document convinces you that the authors do not support a particular alternative.

____

____

____

Section 7

Looking Forward

Introduction to Scenarios

The easiest way to analyze energy policy is backward, through hindsight. Unfortunately, we have to live it forward. Many an energy study has tried to deal with the opaque future by extrapolating forward the trends of the present or the recent past. In our work for the Project, we have chosen to regard the future a little differently.

We believe that the future, though full of surprises, is in some measure within our control. Choices we make now will shape that future. In order to illuminate the range of choices the Project has developed a method of analyzing the long-term implications of present energy decisions. We have constructed three plausible but very different energy futures for the period through the year 2000, as shown in Figure 5 and 6.

The alternative futures, or scenarios, are based on different assumptions we have made about the energy growth patterns our society might adopt for the years ahead, and the policies and consequences that each would entail. Of course, an infinite number of futures is possible; and it is most unlikely that the real energy future of the United States will conform closely to any of the three scenarios we have chosen to describe. They are not predictions, but a tool for rigorous thinking. We do not advocate one option over the others but present each for comparative analysis by the reader.

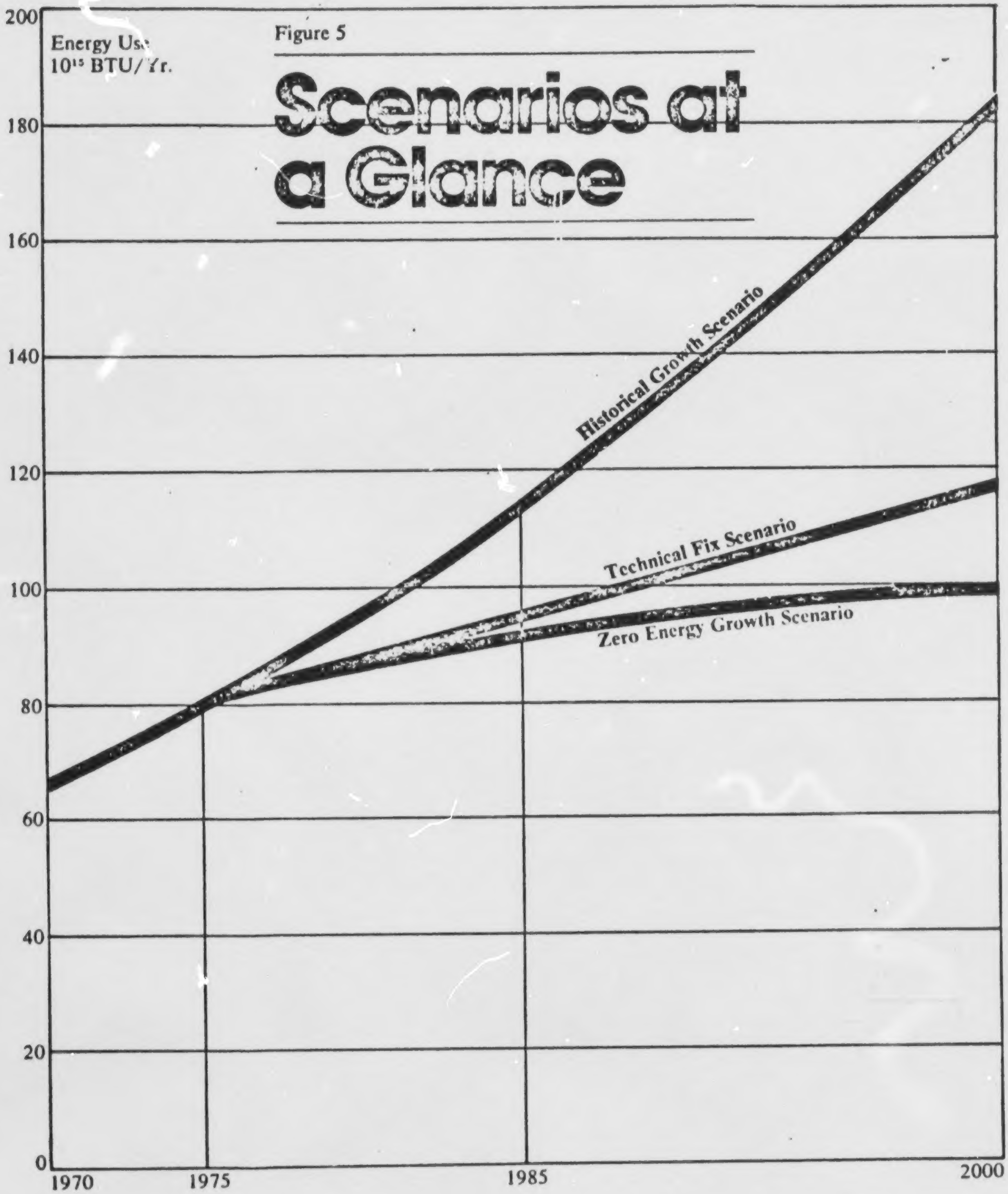
Our first scenario, which we call *historical growth*, assumes that the use of energy will continue to grow much as it has in the past. It assumes that the nation will not deliberately impose any policies that might affect our ingrained habits of energy use, but will make a strong effort to develop supplies at a rapid pace to match rising demand.

Early results suggest that this energy future is indeed possible, even with domestic resources alone, through the year 2000. It would require very aggressive development of all our possible supplies—oil and gas onshore and offshore, coal, shale, nuclear power. If it proved feasible to increase oil imports on a large scale, then the pressure on domestic resources would relax somewhat. Still, the political, economic and environmental problems of getting that much energy out of the earth would be formidable.

Our *technical fix* scenario shares with *historical growth* a similar level and mix of goods and services. But it reflects a determined, conscious national effort to reduce demand for energy through the application of energy-saving technologies. Our work so far has revealed that the slower rate of energy growth in *tech-*

Figure 5

Scenarios at a Glance



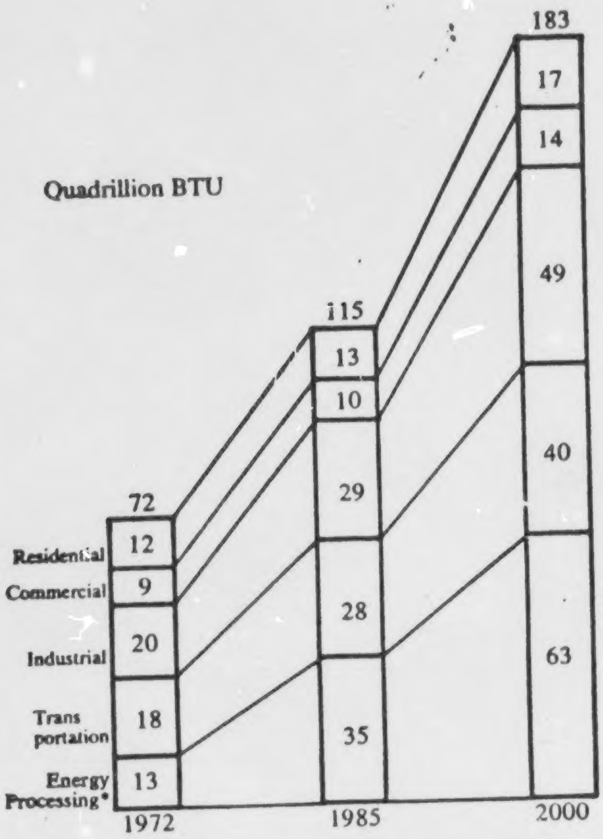


Figure 7

Energy Consumption Pattern In Historical Growth Scenario

*Energy processing — electric generation and transmission losses, oil refining, gas processing, uranium enrichment.

vent it. Decisions, especially those involving the environmental impacts and foreign policy problems of one energy source relative to another, could shift the supply mix heavily in favor of either domestic fossil fuels, nuclear power or imported oil. Relative prices will also play a key role. At the same time, it is clear that significant increases in output from all major domestic sources would be required if energy consumption were to resume the historic growth rate. The RFF conclusions are based primarily on an econometric analysis of past production in response to price rather than a detailed technical projection of future production rates. The production was, however, compared to a variety of resource estimates.

Figure 7 depicts the likely consumption patterns of energy consumption in the *historical growth* scenario and is the base from which savings in the other scenarios are estimated.

Three possible supply cases are depicted in Figure 8. The first case involves continued growth of oil imports so that they provide all of the growth in oil and about 20 percent of the overall growth in energy. The other two cases reflect major long term efforts to achieve domestic self-sufficiency in energy. The second case assumes that domestic oil and gas resources are available at reasonable prices so that the nation can continue to depend on these fuels as the primary source of energy for the remainder of this century and well into the 21st century. The third reflects the opposite assumption that oil and gas resources are either so limited or costly that we must shift to coal and nuclear power for most of the growth.

The achievement of any of these supply cases, and in fact the scenario as a whole, requires that environmental and safety concerns be met with modest increases in cost and that major expansions of any energy source not be effectively blocked through moratoriums on new construction or by outright prohibitions. In addition, the scenario requires either that the government permit basic fuel prices to rise to the levels needed to bring forth the supplies indicated, that sufficient subsidies be provided to the industry to accomplish the same ends, or that the federal government itself explore and develop the energy resources.

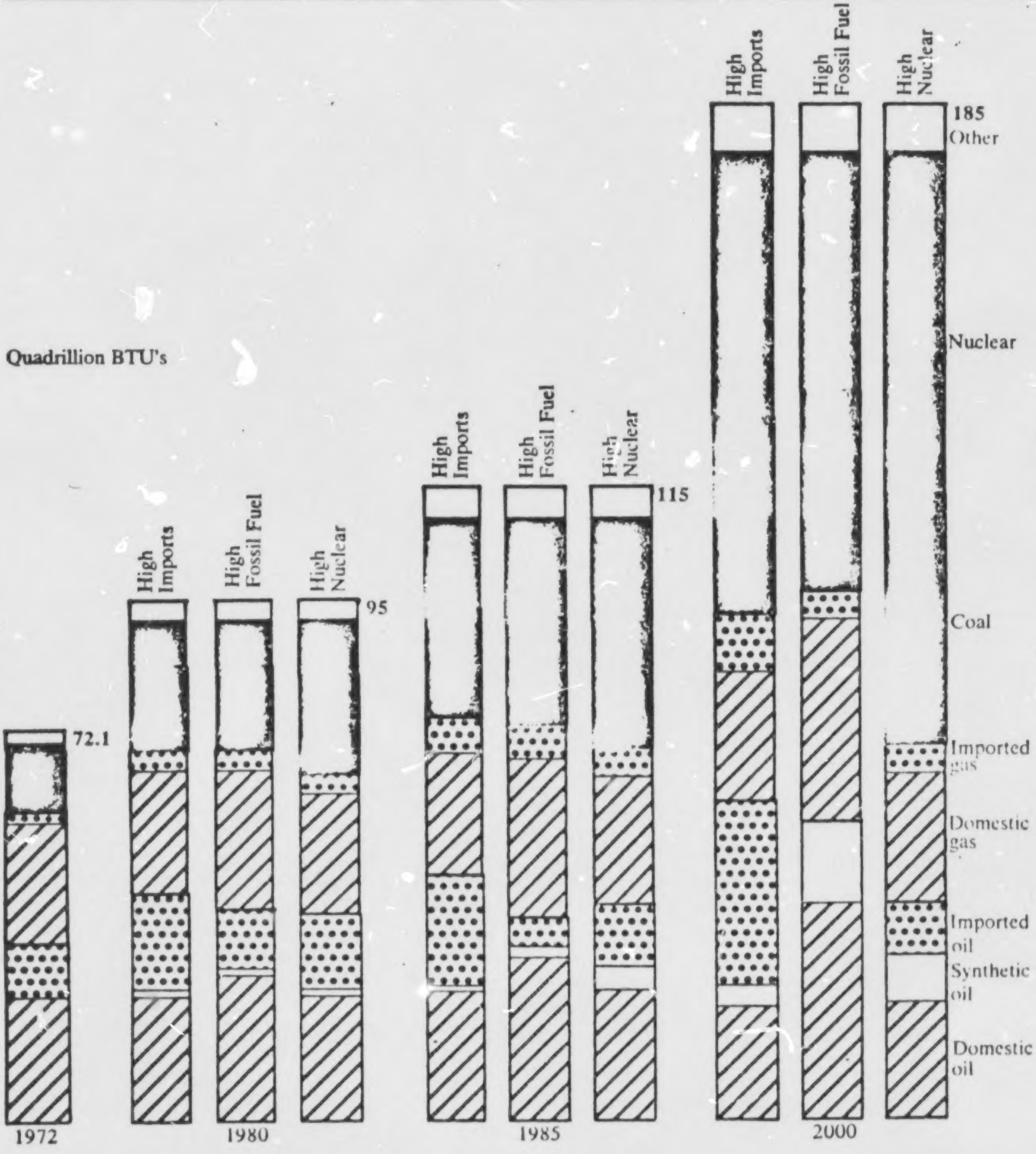
The potential for oil imports and the problems associated with future dependence on them for a significant fraction of energy growth are discussed in Sections 3 and 6.

Long-term dependence on oil and gas raises the question of resource availability. It is a question that is very difficult to answer because the only definitive information on oil and gas in the ground comes from drilling wells. The result of this information is known as "proven reserves," while much larger resource estimates are based on geological inferences. Certain undrilled geological formations are similar to other oil and gas producing formations so it is reasonable to assume that they contain oil and gas.

One widely held view frequently ascribed to M. King Hubbert,[3] an eminent geologist, holds that oil and gas are limited resources which will certainly peak out within the next few decades and run out rapidly thereafter. Based on this view, some conclude that the United States and in fact the whole world should stop burning oil and gas as soon as possible, saving these

Figure 8

Supply Option in "Historical Growth" Scenario



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resources for non-energy uses, especially for fertilizers and petrochemical feed stocks.

The opposing view, based on historical precedents and geological inference, is that there is a good deal more oil and gas to be found if the price is right and the industry responds accordingly. The resource availability controversy can be settled only by future exploration for oil and gas. The work done for the Project by RFF suggests that energy resources are at least sufficient to meet the year 2000 requirements with major reliance on oil and gas supply. Shale oil, synthetic petroleum from coal and alternative sources could also be developed by 2000.

Whether or not the nation should continue its heavy dependence on oil and gas and other finite fuels for the remainder of the century depends on how long they can be produced at reasonable cost. In the medium term, however, the key question is how fast domestic production can be enlarged, not how long these resources will last.

The supply case using coal and nuclear power does not raise the same resource questions, particularly if nuclear breeder technology is perfected. Its main problems are environmental, as have been discussed in Section 4.

In addition to the political, economic, resource and environmental uncertainties in supplying *historical growth*, there is the question of higher energy prices and their effect on consumption. Will consumers buy and use the amount of energy in this scenario at the prices now anticipated or will they reduce their consumption still further? The 3.4 percent per year growth in this scenario is significantly less than the 4 to 5 percent experienced during the late 1960s and early 1970s, but it still approximates growth in the 1945-65 period, a time when prices were lower and much more stable than they are apt to be in the future.

This *historical growth* scenario would require a few basic policy decisions in the near future which would then be followed by some detailed implementation plans.

(1) The government would have to emphasize expanded energy supplies in its actions rather than stressing active measures to promote conservation. Continued subsidies to limit increases in the price of energy may be needed. Demand would also be stimulated by a continuation of economic growth along current patterns. Policies generally favoring energy-intensive private automobiles, detached housing, and energy-intensive industries might be needed while government funding for mass transit or new housing construction to save energy would receive a lower priority.

The tools available for subsidizing the cost of energy were discussed in Section 2.

(2) The nation would have to develop *all* the major sources of energy growth—oil imports, OCS oil and gas, Rocky Mountain shale and coal and nuclear power—in the near and medium term. Even so, it is possible to forego vigorous development of one of the options over the longer term if the others are pushed more aggressively. For example, under this scenario a reduction in imports leading to self-sufficiency in the late 1980s is possible. Or, development of *one* of the following could be slowed but not eliminated: oil and gas development on the Atlantic and Pacific OCS, Rocky Mountain fossil fuel production or nuclear power. To do so would require pushing the other three options very hard as shown, in the alternative supply cases as depicted in Figure 8.

(3) Exploration and development of oil and gas would have to be encouraged by favorable government price, tax, and federal leasing policies. To get the large quantities required in the domestic oil and gas supply case, it would be essential to develop the Atlantic and Pacific Outer Continental Shelves (OCS), Alaska, the Gulf of Mexico, and the Alaskan OCS rapidly. Development of Western oil shale would have to be pushed as well. This raises the federal leasing problems discussed in Section 5 and the environmental and regional development problems indicated in Section 4. Greater reliance on imported oil could ease some of these pressures, but it would require the construction of super-ports and would subject the coastal waters to oil spills and coastal industrialization similar to that which would accompany OCS production.

(4) Increased coal use requires resolution of the strip mining and air pollution problems discussed in Section 4 as well as the labor and economic problems noted in Section 6. With the anticipated prices for oil and gas, coal should have no problem competing with them on an economic basis but the environmental question would have to be resolved.

(5) Significant growth in nuclear power is required in this scenario no matter which supply case is selected. A twelve to fifteen times increase in on-line nuclear capacity between now and 1985 is projected, based on the large number of plants now on order or under construction. It would be followed by an additional three to fourfold increase by the year 2000, depending on the degree to which transportation i

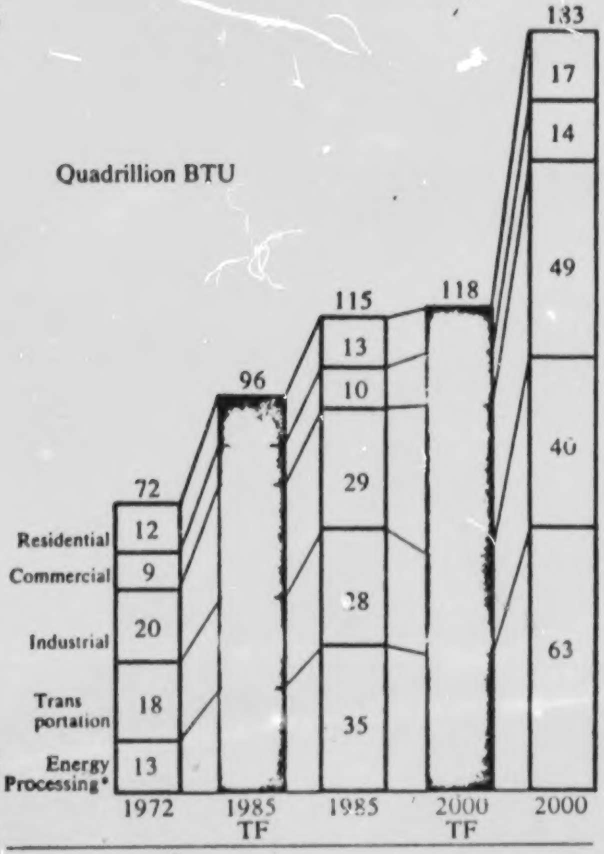
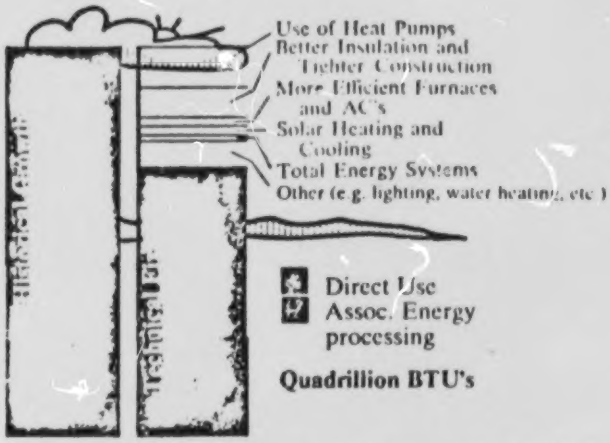


Figure 9

Energy Consumption Patterns: Technical Fix vs. Historical Growth.

*Energy processing — electric generation and transmission losses, oil refining, gas processing, uranium enrichment.

switched to electric power and the extent to which coal could be used to fuel electric power growth. Thus, questions of nuclear power safety, safeguarding nuclear materials and handling of radioactive wastes would have to be resolved. To achieve the necessary rate of energy supply growth would require that design, siting, and federal licensing procedures for individual power plants be streamlined and standardized and that other elements in the nuclear power fuel cycle such as enrichment, reprocessing and waste handling proceed apace.


Use of Heat Pumps
Better Insulation and Tighter Construction
More Efficient Furnaces and AC's
Solar Heating and Cooling
Total Energy Systems
Other (e.g. lighting, water heating, etc.)
▨ Direct Use
▨ Assoc. Energy processing
Quadrillion BTU's

Total Residential and Commercial Energy Use in 2000

Figure 10 **Residential and Commercial Savings**

(6) All of the supply options for this scenario require extremely large investments in refineries, power plants, pipelines, transmission lines and other large facilities. The capital requirements are large in comparison with other investments made by the economy, and may need to grow. This problem is the subject of a Project-sponsored study by Jerome Hass' of Cornell University. Serious siting, technical manpower, and construction labor problems also arise in addition to the capital problem. Unless speedy solutions are found to this broad class of problems the scenario would not be achieved.

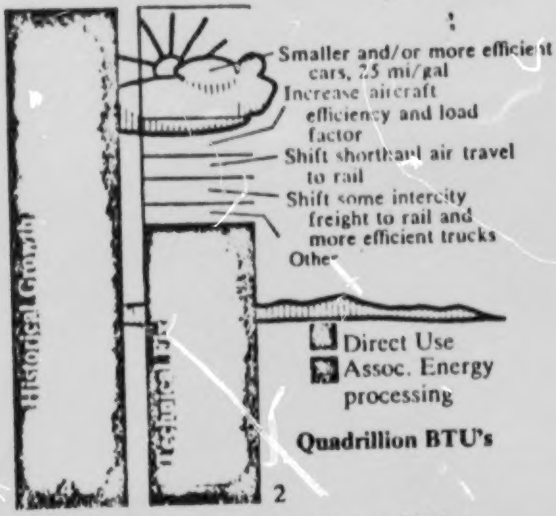
(7) Research and development programs which concentrate on enhancing energy supply and conversion technology and on environmental clean-up are crucial to the *historical growth* scenario. The effort would emphasize medium-term technologies rather than fundamentally new, long-term technologies.

Technical Fix Scenario

A second model of the future offers the option of reducing energy demand substantially below historical growth rates. This is accomplished by making consumption efficiency, rather than increased supply, the focal point of energy policy.

The scenario under discussion was developed by applying economically feasible energy-saving "technical fixes" to the end uses of energy in the *historical growth* scenario. As a result, energy demand grows at half the 3.4 percent rate in the *historical growth* scenario, but without reducing the standard of living or significantly changing lifestyles.

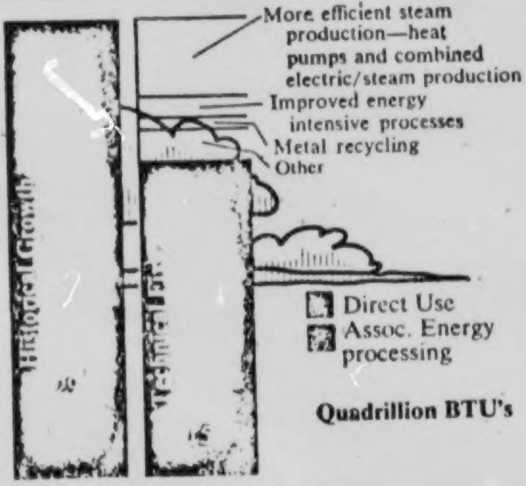
Figure 9 shows the magnitude of the energy savings in the major categories of use by 1985 and 2000 if the conservation efforts are begun in the near future. The total possible energy savings by 2000 in



Total Transportation Energy Use in 2000

Figure 11

Savings in Transportation



Industrial Energy Use in 2000

Figure 12

Industrial Savings

the *technical fix* scenario are about 65 quadrillion Btu's per year—one-third of the energy consumed in the *historical growth* scenario and almost as much as our total energy consumption today. Figures 10, 11 and 12 highlight the specific technical solutions which make these savings possible in each of the major energy-consuming sectors.

We have estimated each of these savings on the basis of outside studies and work by staff members. These estimates are technically feasible. The conservation technologies specified appear to us to be economically feasible as well, on the basis of calculations that take into account both initial and operating costs.

Technical Opportunities for Savings

Although there are a large number of ways in which to cut energy consumption without reducing our standard of living or the benefits we receive from energy, the greatest savings come from a relatively few—space heating and cooling, industrial process heat production and automobiles. Detailed descriptions of all of the energy conservation measures used in the *technical fix* scenario will be presented in the final report, but the most important ones are highlighted here.

Reducing the energy required to heat and cool homes and commercial buildings involves three different but complementary approaches: improved building design and construction so that less heating and cooling are required; more efficient systems for heating and cooling; and the use of renewable sources such as the sun. In the first instance, more widespread use of insulation and double glazing can be combined with construction of "tighter" buildings so that outside air does not leak in. These relatively simple approaches already pass the test of technical and economic feasibility.

The heat pump is the best example of a more efficient heating system. Heat pumps are electric or heat operated refrigerators or air conditioners operating in reverse. They warm the house by cooling the out-of-doors. They use mechanical energy, generally from electric motors, to bring *in* the "free" but low temperature energy in the natural environment and pump it up to useful temperatures. For every Btu a heat pump consumes in electricity, it produces two or three in heating for a house. This compares with the one Btu of energy provided by electric resistance heaters for every Btu they consume. The use of the heat pump for space heating, and cooling when they are reversed, has to date been economically feasible only in the South, but now higher energy prices make it economical in most regions of the nation.

Solar heating and cooling systems exploit a neglected resource. Solar heating has already caught the public's eye through widespread publicity of the relatively few solar homes built around the country. The sun's energy is gathered in rooftop collectors to provide most of the energy for heating. Additional research and development is expected to produce air conditioning systems which use this solar heat, further expanding the usefulness and benefits of this approach. Under a Project grant,[5] the California Institute of Technology's Environmental Quality Laboratory has studied the many institutional and technical problems which must be overcome before solar space heating and cooling can play a major role in the U.S. energy economy. Because of the difficulties and higher costs associated with installing solar heating and cooling in existing homes, the Project estimates that this technology will achieve widespread use in new homes only after 1985.

Industrial heat production accounted for 28 percent of total energy consumption in 1968 and it offers a major opportunity for conservation. Improvements involve both existing and new technology. Heat recovery systems which use the heat from the exhaust gases of a furnace or other processes to warm incoming air have been around for years, but with cheap energy it was not often economically attractive to install them. The economics are now more favorable.

A similar approach combines process steam generation (60 percent of industrial heat production) with electric production. Whenever fossil or nuclear fuels are used to generate electric power, about two-thirds of the heat is released into the environment. Sometimes this waste heat can be used to generate process steam or heat. When this concept is used in residential or commercial applications, it is called "total energy." It is also used in industrial applications where high temperature energy is used to generate electric power before it is used as process steam. The hardware—whether it be diesel engines, gas turbines or steam turbines—exists and is becoming a better investment as energy prices rise. Institutional and technical problems associated with operating these systems as part of a larger electric power system need to be solved before they will achieve more widespread use.

The heat pump principle may also be used to produce process steam. A Thermo Electron study[6] for the Project has focused on this and other industrial energy applications. Residential heat pumps can frequently use the outdoor air as a source of low grade energy. However, the surrounding air may not contain enough heat for producing industrial steam. Industrial or power plant waste heat, low-temperature, solar-flat-plate collectors or ground water could fill this need. This approach is still in the research stage, but looks promising.

The use of energy in automobiles is also a significant fraction of the nation's energy budget and offers technical options for conservation. Overall vehicle weight and fuel consumption are closely related as discussed in Section 1. The current trend toward smaller vehicles will produce energy savings. Technical developments—for example, the use of radial tires, better streamlining, and improved matching of the engine, transmission and differential—could improve gasoline mileage without reducing the size or versatility of the automobile. Such improvements would result from design changes using existing technology. More fundamental changes such as the use of the diesel engine or electric propulsion systems to replace the internal combustion engine could also reduce the energy required for automobile transportation but would take longer to implement.

The major uncertainties in this scenario are political, institutional and economic questions rather than physical or technical limitations. A few of the technical fixes such as solar heating and cooling, the use of heat pumps to produce industrial steam, and alternatives to the internal combustion engine require some more R&D, but most of them are available commercially today. A fundamental assumption in this scenario is that individual and corporate consumers of energy would in fact respond to higher prices and direct federal action, and use these more efficient technologies.

Policies to Implement Conservation Measures

The basic tool for achieving the energy savings in the *technical fix* scenario is a market place in which energy is priced to reflect its full costs to society. At this point in our study, it is not clear just what the price level of energy would be with all existing subsidies removed, and the total social or environmental costs included in the price. Nor has the impact of higher prices on the level of demand been established with any degree of certainty. It appears, however, that market prices alone will not bring about all of the energy savings possible. Government policy changes are needed in order to eliminate institutional obstacles so that the market place can function more effectively. Other changes may be necessary to encourage market decisions in favor of conservation rather than consumption. Finally, in those instances in which market solutions are not feasible, direct regulation may be required. Any tax or regulation measures, of course, run the risk of distorting rather than correcting the market, and the social and economic consequences of government action should be weighed against the benefits.

Improving the operation of the market system requires that consumers have better information about the energy performance of the items they buy in terms of Btu's and dollars. The most immediate need appears to be for a "Truth in Energy Law" to require labeling for automobiles, appliances and even homes which clearly spells out average energy use and operating costs. The object is to give a purchaser the opportunity of making an informed decision on the basis of both the initial cost and the fuel costs for running the item over time. Today the consumer often lacks the information to take energy operating costs into account.

Information is useful only when the purchaser has a real choice of products and access to the credit needed to finance capital investments. Many government and private actions are needed to overcome this problem. One exemplary approach to financing additional insulation in private homes has already been initiated by a few utilities.[7] The company provides homeowners with low-interest loans, repayable through their utility bills, to meet insulating costs. The gas costs are, of course, reduced due to the lowered fuel heating requirements. This reduction is usually more than enough to offset the cost of insulation within a year, providing a vivid example of the benefits of life cycle costing.

In many instances however, it will take more than better information to correct existing imbalances in the market or to shift the balance in favor of conservation. Taxes and subsidies are the basic tools for dealing with this, as discussed in Section 2. Metals recycling is a case in point. Depletion allowances on raw materials and regulated freight rates currently favor the use of new metals. Unless there are significant technical breakthroughs which would make processing waste metals much cheaper than at present, specific government action will be needed to encourage recycling. Removal of the subsidies on new metals, or the provision of comparable ones for scrap, as well as federally-funded demonstration of recycling metals from urban wastes, might be required.

In the transportation sector, a similar strategy of removing subsidies for less energy-efficient modes of transportation, and of supporting urban mass transportation and intercity railroads with new federal funding, would be necessary to achieve the savings projected in this scenario. Highway and air transportation now receive most of the government support in the transportation sector.

Federal research and development (R&D) funding is a common method for subsidizing civilian activities. It is being used extensively for developing energy supply, but to a much lesser degree for energy consumption technology. Basic R&D on energy conservation in building construction, equipment design and industrial processing could provide significant benefits to the public, but it may not be possible for an individual firm to profit from them and justify a corporate effort. Joint government-industry demonstration projects could pay large dividends if they were designed to encourage widespread implementation of the technology rather than simple technical development.

Some areas of the economy, particularly the industrial sector, are too varied and complex to address with specific taxes and subsidies. Here the use of a broadly based excise tax which reflects the social costs of using energy may be an effective tool. Such a tax could produce moderately higher prices sufficient to stimulate the use of less energy-intensive industrial processes.

Other areas of the economy such as the residential and transportation sectors may not be as amenable to market oriented solutions. Where additional information is not enough to stimulate the changes, and taxes or subsidies cause undesirable equity problems or do not work, regulatory measures may be used. Energy performance standards which specify the energy efficiency of buildings, appliances and automobiles have been suggested. To preserve the most design flexibility and room for innovation, it is preferable to regulate performance—the maximum permissible heat loss from a building or minimum fuel economy for an automobile—rather than to specify the technology for accomplishing it. These regulations can be made rigid, permitting no deviations, or more flexible through a steeply graduated tax. This mixed approach might be used for automobiles: no tax for efficient cars meeting a certain minimum standard coupled with high taxes for less efficient cars.

Impact of Conservation on Supply

The substantial reduction in energy consumption in the *technical fix* scenario gives us greater flexibility to select those energy supply options with minimum environmental, social, economic, and foreign policy costs. Because less energy would be required, less expensive sources may be developed, less land would need to be devoted to energy production and less pollution would result from its consumption. Another important difference between the scenarios involves capital investment. Greater investments in energy consumption systems such as mass transit would be required in the *technical fix* scenario, but there would be less investment in new energy supply facilities. A detailed evaluation of these effects has not yet been completed.

Numerous supply mixes for the *technical fix* scenario are possible and three have been examined by the Project. All of the cases move rapidly toward self-sufficiency. The "base case" achieves it first by developing all of the domestic sources. A domestic fossil fuel (or low nuclear) case requires oil, gas, and coal production approaching the *historical growth* scenario. A high nuclear case permits domestic oil, gas and coal production to level off after 1980. Each of these cases is depicted in Figure 13.

The "base case" demonstrates that a sustained effort to introduce energy-conserving technologies into the economy reduces the pressure upon energy suplies. For instance, domestic oil production needs to grow only about half as much by 1985 and 2000 as it would under the comparable *historical growth* supply case. The pace of Outer Continental Shelf and onshore Alaskan oil and gas development, as well as shale oil and coal synthetics development, could be much lower, and self-sufficiency could be achieved sooner. Domestic natural gas development would parallel the pattern set by domestic oil. Coal and nuclear power are also estimated to grow significantly above current levels in the "base case" but again less rapidly than in the *historical growth* scenario.

Expanding certain energy sources, even at the reduced rates possible in this scenario, is a source of increasing concern to individuals concerned with environmental degradation and regional impacts. The other two supply cases reflect the options of curtailing the development of one or more of the most controversial sources.

The low nuclear case assumes a political decision that the risks of nuclear power are too great to continue its growth as presently projected. Nuclear power could be limited to plants presently operating or under construction, pending resolution of the safety and environmental issues concerning nuclear power. Nuclear power could then be phased out, if these issues were not resolved. Due to the long lead time in constructing nuclear power plants it would be about 10 years before such a decision would affect electric power production or before new plants could be brought into production if it were rescinded. Phasing out nuclear power would greatly restrict future supply options.

Similarly, in the *technical fix* scenario, the nation could choose not to expand coal mining generally, in either the East or the West, because of environmental or social problems, or to restrict surface mining in particular. As shown in the high nuclear case in Figure 8, this action could be accommodated in the *technical fix* scenario. The amount of nuclear power required to fill the gap would be less than is required in the *historical growth* scenario.

Although not shown in Figure 13, a supply case which involves little or no increase in domestic oil and gas above current levels would be possible through a combination of nuclear and coal development. This case reflects a serious limitation on oil and gas resources or a decision not to develop the Atlantic and Pacific OCS. It would involve greater total energy consumption because more raw energy would be converted to electric power or synthetic liquids and gas with resultant energy conversion losses.

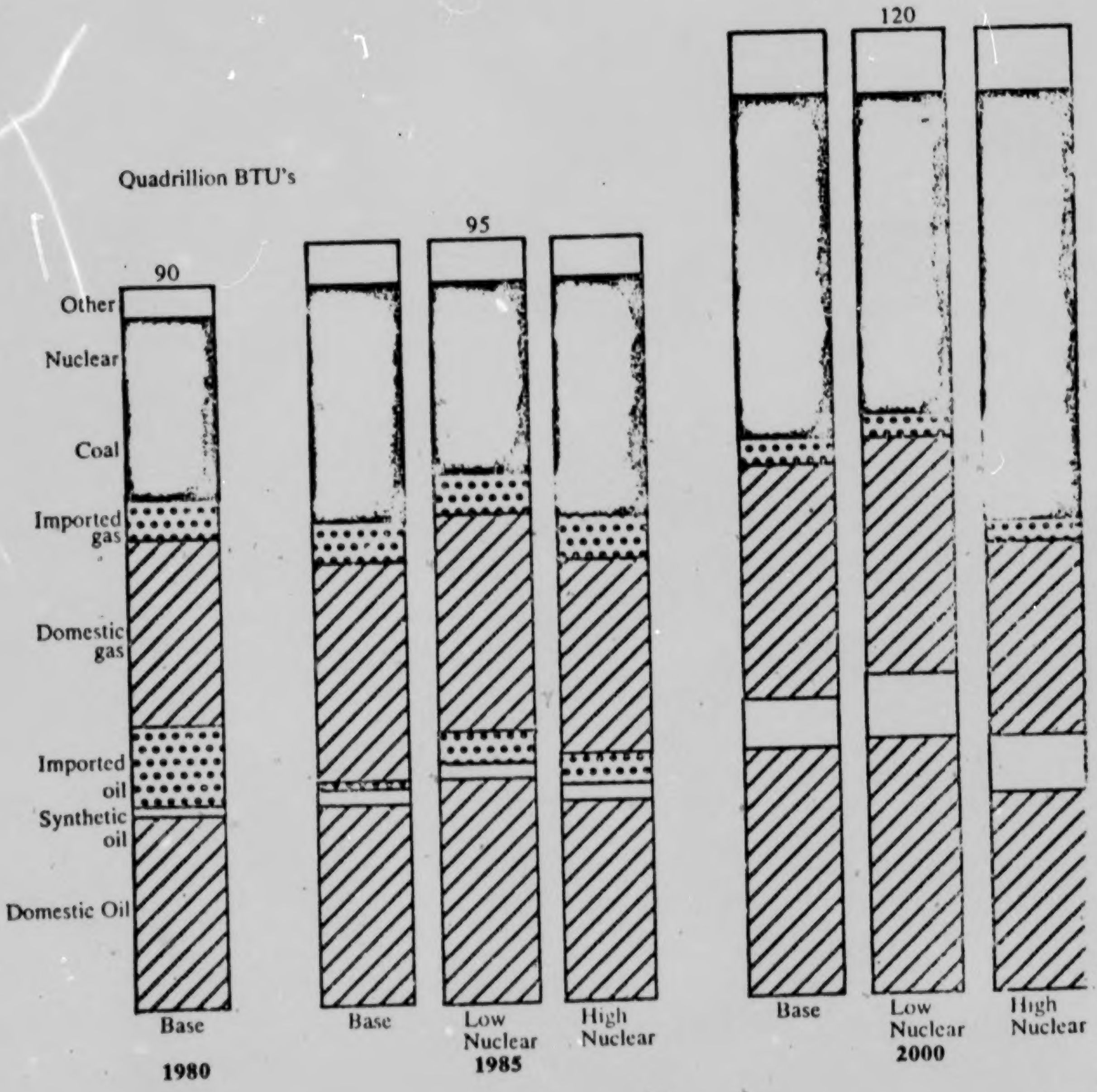
But under the *technical fix* scenario, it would be necessary to increase at least *one* major source of energy significantly above current production levels. This point is indicated with the supply options shown in Figure 13. More oil, whether it is imported oil, traditional domestic petroleum, or synthetic oil, is required in all but the high nuclear case. More natural gas and coal are included in all of the supply cases. Even nuclear power increases in all of the cases, although it is kept to a minimum in the low nuclear case. The size of these increases varies widely depending on the option selected. For coal the increases range from 30 percent to 300 percent and for nuclear the range is even larger. Due to their large current production, the percentage increases in petroleum liquids and gas are not so large, except in terms of specific sources such as shale oil, coal liquids and oil from the Atlantic and Pacific Outer Continental shelves.

In the *historical growth* scenario, this flexibility in supply is *not* possible. Major sources like nuclear power or strip-mined coal cannot be eliminated, only developed at a slower rate.

Finally, since reduced growth in energy use gives a lower total energy use, new sources of energy such as

Figure 13

Energy Supply for the Technical Fix Scenario



solar or geothermal that may be environmentally or otherwise superior could contribute a greater fraction of the energy supply in a shorter period. The economy is also less dependent on short term payoffs from its energy research and development programs. A greater proportion of the federal R&D could be focused on long term energy sources such as solar energy, wind energy, and controlled thermonuclear fusion than would be possible with more rapid energy growth.

A Zero Energy Growth Scenario

The concept of zero growth, first for population, later for resource use and now for energy in particular, has caught the attention of many citizens.[8-13] This stems in part from a growing concern that we are rapidly approaching the limits to growth on our planet. Besides the concern over physical limits, there is growing dissatisfaction with the automatic acceptance of "progress," as well as a feeling of "dehumanization" that stems from disillusionment with ever-growing consumption of material goods, and with the huge bureaucracies which produce, dispense, regulate and otherwise service those goods.

One of the Project's scenarios for the future is designed to work out the implications of zero growth in energy. It is not our aim to explore the notion of zero economic growth. On the contrary, our preliminary work suggests that some sectors of the economy must grow vigorously for the nation to reach zero energy growth in a satisfactory way.

The transition to zero energy growth might come about naturally in response to ever-rising prices for energy and other commodities which result from scarcity or environmental limitations. It might also be one feature of the transition to a "post-industrial society,"[14] with an emphasis on services rather than goods production.

There are many reasons for seriously considering a *zero energy growth* (ZEG) option.

First, it is important to note that there is a fundamental difference between zero and slow growth. The slow growth of the *technical fix* scenario serves, in effect, to buy time before the problems associated with high consumption become acute. If the pace and mix of economic growth remains unchanged, energy consumption in the *technical fix* scenario would resume at a higher rate of growth, beyond the year 2000, as new opportunities for cutting out waste become harder to find. Even if the *technical fix* growth rate stays at 1.7 percent per year extended into the next century, a level of 180 quadrillion Btu's would be reached by 2025 and 275 quadrilion Btu's per year by 2050.

Providing the energy supplies to meet such demand levels would strain existing technology and known resources to the utmost. New technologies like nuclear fusion may be developed in time to support increasing energy growth early in the 21st century. But they are by no means certain to come to the rescue. They could prove to be less feasible or more polluting than they now appear.

Second, even if new technologies are developed, the earth has a finite capacity for absorbing environmental insults. What these finite limits are is uncertain. Recent scientific calculations indicate that the world may be rapidly approaching certain of those limits.[15] Continued rapid growth in the burning of fossil fuels for the next 30 years means an accompanying atmospheric buildup of carbon dioxide and particle matter. Analysis increasingly suggests that this could trigger substantial global climatic change.[16, 17] A "point of no return" may be reached as soon as 30 years from now or as many as 100 or more years into the future. One prudent response to this uncertainty would be to plan now for reaching a manageable level of energy use as soon as possible.

A third reason for zero energy growth in the United States is simply that the rich nations of the world may limit their energy consumption either by choice or necessity so that the poor nations have a better opportunity, especially when it comes to using nonrenewable resources, of achieving a decent standard of living.[13] Because of its influence in world affairs, America could take the lead in restraining its consumption of resources.

A fourth motivating factor for the *zero energy growth* scenario is the concern by some people that rapidly growing technology is dominating their lives and is beyond their control. There is a growing unwillingness among many citizens to leave to experts in remote bureaucracies the task of determining what technologies are or are not socially acceptable.

Both the *historical growth* and *technical fix* energy futures assume that there will be long term growth in the large industrial complexes which supply, process and use energy. Effective public participation in the decisions about the desirability of these large technologies has been virtually impossible. Events move too fast, technical knowledge is too specialized and the future becomes the present before we know it. For example, the social acceptability of nuclear power is only now being publicly debated, many decades and many billions of dollars later. With zero energy growth, the pace of development and innovation would be more amenable to public involvement. Gradual decentralization of technology could be an important element in the economic and institutional reorganization necessary to achieve a ZEG scenario.

The *zero energy growth* scenario we are developing closely parallels the *technical fix* scenario until the mid-1980's, and then reaches zero or even negative growth in the period thereafter. The nature of the economy in a zero energy growth society would certainly be very different from that of the other scenarios. But economic activity would not stagnate. Present-day society is geared to a relatively heedless use of plentiful, relatively low-cost energy. To develop a society that husbands its resources, including energy, would require a different kind of economic emphasis.

Redesign of cities and transportation systems would be a must. Growth in energy-intensive industries, like making plastics from petrochemicals, would be deemphasized. Instead there would be more vigorous growth in the service sector of the economy (education, medicine, government, etc.) and in industries which use less energy. The trend toward a service economy in the United States is already well under way, the service sector share of the labor force having increased from 50 to 60 percent during the last two decades. In the ZEG scenario, the shift would accelerate.

The idea of *zero energy growth* sometimes evokes the image of Spartan austerity. The *ZEG* future we envision does not match this image. An energy consumption level of 100 quadrillion Btu's per year in 2000 would provide 10 percent more energy per person than the United States uses today. And the energy would be used more efficiently, thus providing more benefits to society. There is nothing inherent in the ZEG scenario which would preclude national redistribution of the "energy income." Those who do not have an adequate standard of living need not be stopped from achieving one because of lack of energy. Nor is there any inherent reason why those in the middle to high energy income brackets would have to give up any of the things they enjoy today.

It would, however, mean an end to the "more is better" philosophy, replacing it with one saying "enough is best." There would be a saturation point where no further increases in annual energy consumption would be needed. Further, because of its greater efficiency in using energy, the *ZEG* scenario would include many more energy benefits than the nation now enjoys. All of the householder's basic energy needs could be met. Appliances like air conditioners and dishwashers, often classed as luxuries today, could be in such wide use as to be considered "basic." Use of electronic devices such as stereo high fidelity sound systems would be quite compatible with the scenario since they use little electricity.

Energy Characteristics of the ZEG Scenario

At this stage in our work we are still quantifying some of the important characteristics of a *ZEG* society. What we can do here is identify the areas where we believe the extra energy savings of the *ZEG* scenario may be found.

An important point to begin with is that structural changes in one sector of the energy economy often have profound effects in other sectors.

Transportation

For example, consider transportation. In the *ZEG* scenario, automotive energy requirements would be markedly reduced, not because cars would be still smaller or more efficient than those in the *technical fix* scenario, but because people would be spending less time traveling, especially in commuting. To save the time wasted in commuting, they would live closer to work or closer to schools and shopping areas. This kind of decision can be encouraged by governmental action. Present government policies, like income tax breaks to homeowners and FHA loans, encourage home ownership in the suburbs, and away from work in the central city. Government efforts to draw people back to central cities might involve such a simple but important "non-energy" policy as equalizing tax benefits for homeowners and renters.

Another approach to further reducing energy in transportation would be to design new communities where homes are close to jobs and commerce. In both the revitalized core city and the new community, people could readily get about within the community by foot, bicycle, or mass transit. Some new communities could be built as satellites to urban core cities, connected to the urban center and other satellites by rapid mass transit links. Another transportation feature of this scenario could be development of efficient rapid rail transport between urban centers up to four or five hundred miles apart. Air transportation would be used primarily for longer trips.

Unit (b) - In-Class Assessment-Attachment (Part I)

Summary

The energy problems facing the nation stem from a long history of neglect and oversight; they will require time and a rigorous effort to overcome. No single villain brought us to this point and no simple action will get us out. But our diverse national resource base and the capability we possess for using energy more efficiently give us room to maneuver.

The gap between domestic energy consumption and domestic production emerged in the 1950s and has grown rapidly since 1970. In recent years imported oil has provided virtually all of our annual growth in energy. The gap grew not by design but through a hodgepodge of government, industry and consumer decisions, which were often unrelated to energy supply and demand calculations. These actions ranged from the passage of new national laws protecting the environment, to personal decisions to buy large air conditioned cars, to federal regulations which encouraged refinery construction abroad. They all contributed to the leveling off of domestic energy production and a simultaneous steady rise in consumption.

Extricating ourselves from this problem will take time. Increasing domestic supplies or implementing new, more efficient energy consumption technologies usually takes several years because of the large capital investments involved. Unless oil imports can be increased at an acceptable economic and political price, which is possible but not very probable, the only way to reduce the gap in the short term will be to restrict consumption. Making do with less fuel than we have grown accustomed to for heating and cooling buildings, driving automobiles or running industry will not be easy. Jobs, prices and our old ways of life may be compromised in the short term as we work to overcome the energy gap. The challenge for government in the short term is twofold: (1) to manage the shortage so that no individual or group bears an undue burden; and (2) to take short-term actions which do not significantly restrict options for the future.

This is critical, because in the medium and longer term, the picture is much brighter. We have outlined three descriptive scenarios of the future to show the range of feasible energy consumption patterns from which the nation can choose. These scenarios differ very markedly in their impacts on availability of energy supply, the environment, foreign policy, lifestyles, and the economy. One scenario is based on the persistence of present growth trends in energy production and consumption and stresses the policies needed to satisfy that growth in a socially acceptable manner; another is a "technical fix" solution, which maintains the same growth in energy services, but stresses policies needed to reduce growth in energy use through improved efficiency; as a third option, we consider a *zero energy growth* scenario which would require changes in both lifestyles and the economy to reach a steady no-growth state in energy consumption by the late 1980's. A comparative analysis of these scenarios, together with a detailed exploration of the policies needed to implement them, will be presented in the Project's final report.

Choices that we make today will profoundly affect our options for the future. Three policy areas stand out because they urgently require decisions whose consequences will be far-reaching. First, international policy is closely linked to energy policy; the challenge is to develop the two in concord. Environmental policy too is intertwined with energy since producing energy and using it always harms the environment to some extent. Federal energy resource management is a third area which has an essential bearing on energy issues. It affects adequacy of domestic energy supplies, energy prices, and environmental protection, because most of the nation's undeveloped energy resources are on government land and owned by the public.

What we wish to emphasize in this preliminary report of our work is that the nation does have energy choices. There is more than one path before us; each has its own advantages and pitfalls. Our first task as energy-conscious citizens is to inform ourselves of what lies ahead before we choose our way.

Unit (b) - In-Class Assessment-Attachment (Part I)

Residential Use

This "transportation strategy" for *ZEG* has several important implications for residential energy use. One of them is that the trend toward multi-family housing would be greater than in the other scenarios. This in turn means that energy requirements per household would drop. Our research shows that household energy consumption is much lower in multi-family than in single family dwellings. Another energy-saving opportunity comes with more multi-family units: greater potential use of on-site total energy systems, which generate electricity and use the waste heat for space conditioning.

Commercial Use

The commercial sector of the energy economy would probably involve more energy use in the ZEG than in the *technical fix* scenario, because more people would have jobs in the service sector, and energy is needed to support these jobs. But this would be more than offset by reductions in industrial energy use.

Industrial Use

There are several ways to reduce energy growth in industry. Sharply reduced growth in energy-intensive industries and more emphasis on agriculture, electronics and other high-technology, low-energy activities is vital. For example, the growth in energy-intensive industries might be exported to those parts of the world where energy is cheap—a trend that is already developing due to natural economic forces. The nation could import more of its fertilizer and aluminum, so long as it could pay for them through exports. We could, for example, extend our capacity to export farm products and high technology, two areas where we have a comparative advantage and where energy requirements are relatively low.

With slower growth in petrochemicals we could expect curtailed growth in the use of plastics, especially for purposes such as the packaging of food products.

It is possible to design industrial products so that they are easy to recycle. Automobiles themselves could be recycled, and so could their valuable, constituent materials, such as copper and aluminum. Performance standards might be developed that would require recyclability as a design feature of new products. Recycling not only saves the basic materials but greatly reduces the energy requirements for their manufacture. Greater stress on durability of many manufactured products could also be a major energy and materials saver.

Supply

Supplying the energy to meet a *zero energy growth* scenario has many fewer problems than supplying the other scenarios. In addition to reducing demands on the traditional resources, this scenario places emphasis on renewable resources such as solar power, wind energy and the conversion of agricultural and other wastes to energy. Simple, decentralized energy systems such as roof-top solar collectors and windmills could play a more significant role if consumption were not growing. We could redesign our agricultural systems so as to collect animal and plant wastes and use them as fuel. This new source of fuel would be a useful by-product of growth in farm output for export.

Achieving ZEG

This discussion has described some general features of our *ZEG* scenario as it is evolving in our thinking. Our analysis so far indicates that the implications of *zero energy growth* for our economic and political systems might be significant. Yet managing a transition to *zero energy growth* appears to be possible *if* the change takes place gradually over ten to twenty years as part of long term planning and a growing social consensus as to its desirability.

In order to achieve a smooth transition, policies which allow gradual increases in energy prices through energy excise taxes in addition to removal of existing subsidies would be needed. Government fiscal and monetary policies to maintain economic growth and full employment during this period would be crucial. Many of the policy tools now used to achieve this objective serve to increase energy-intensive capital investment. In a *ZEG* scenario full employment would require a different economic game plan. Special programs would be required to provide displaced workers with new jobs during the transition.

Some of these changes, such as zero population growth, are already beginning to take place without government action. There is no clear indication that more government coercion would be needed to achieve this scenario than the others.

Work is continuing on this scenario. In our final report, we expect to describe it in detail.

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Unit (b)-In-Class Assessment-Attachment, (part I)

Electric utilities face a price dilemma

Higher rates would lower demand and cut revenues. Is more capacity needed?

The nation's use of electricity during the past three months has been running 10% below expectations, and while that has cheered environmental groups and the Washington officials charged with steering the U.S. through the energy crisis, it has deeply upset the men who run the electric utilities.

The dwindling use of electric power is saving precious fuel, but it does pose cruel problems for the already-troubled utilities and for the government agencies that regulate them.

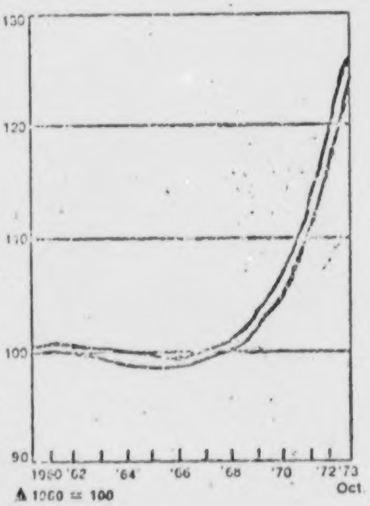
As electricity usage falls, revenues decline faster than costs so utilities wind up with less profits or, in some cases, with a loss. Then the utility must go to its state regulatory commission to request rate relief. Commissions typically give the utilities most of what they seek. In 1973, $1.1-billion in rate increases were granted, and further boosts totaling $1.7-billion are pending. Even so, most utilities find profit margins eroding, debt coverage ratios shrinking, and the ability to finance the $85-billion in capital spending planned over the next five years thrown into question.

Yet a growing number of economists insist that the situation is not as bleak as it looks, that the utilities can change the way they price their products and undertake more effective regional planning and that a more hard-nosed attitude by the regulators would benefit not only users of electricity but the utilities themselves. Most striking, perhaps, is the emerging consensus among economists that higher prices for electricity will cut deeply into demand—meaning that much of that additional capacity the utilities are planning probably will not be needed. And 50% of what users pay for electricity is attributable to capital costs of the utilities. This will not help the utilities out of their current financial bind, but it should keep the bind from getting worse.

Demand vs. rates. Power companies assume that the demand for electricity will double in the next 10 years as it did during the past 20, and they are planning accordingly. But between 1950 and 1970, the price of electricity fell sharply relative to all prices, and that spurred consumption. By contrast, the rapid increase in electric rates in the past few years, with more increases to come, should cut into what seems to be an almost insatiable appetite for electric energy. Says Philip K. Verleger, Jr. of Data Resources, Inc.: "On the one hand the utilities are saying that they need rate increases, but on the other hand they're ignoring the impact of higher rates on the future demand for electricity."

Professor George J. Stigler of the University of Chicago looks at the recent lag in electric consumption and says: "To attribute the decline mainly to conservation is silly. I have never heard of a persistent voluntary curtailment of consumption. You do it with high prices or by making the goods or services unavailable on the shelf. If they [the utilities] get the increases they're asking for, they'll be back again because demand will fall further."

Electricity prices have soared



Data: Bureau of Labor Statistics

In the final analysis, the decline in electric consumption depends on the elasticity of demand: the response of consumers to price changes. And, over the short run, economists have found that the elasticity for residential users of electricity is quite low, between 0.1 and 0.2, meaning that a 10% increase in price will cut consumption by only about 1% to 2%.

Over the long run, though, demand seems to be quite elastic. A model developed by Professor Hendrik S. Houthakker of Harvard, Dennis P. Sheehan of Data Resources, and Verleger indicates an elasticity for residential users of 1.0: a 10% increase in price causes an equal 10% decline in usage. A recent study at Oakridge National Laboratory, which supports the Houthakker-Verleger-Sheehan model, found elasticities for commercial and industrial users in the 1.5 range. Thus, what seems to be happening now is that a long-term adjustment is taking place, as both private and commercial users become more aware of the cost of electricity. In the future, Verleger predicts, "This will be seen in a shift from electric-intensive appliances toward less intensive ones, similar to the shift that is now taking place in the auto industry." He figures that power use will grow at a 3%-to-4% annual rate in the next 10 years, instead of the 7% rate forecast by the utilities.

Pricing problems. Meanwhile, utilities are sticking to their forecasts, although a few are scaling down their capital budgets. If the economists are right, of course, then budgets will be slashed quite sharply and some of the fever to raise rates will cool.

Economists accuse the utilities of more than just faulty forecasting. They also insist the utilities have goofed when it comes to pricing their product. For one thing they maintain that a utility's rate structure stimulates usage at the wrong time. A utility is required to provide service at all times and must build enough capacity to handle the peak demand. But in general, electric rates are the same during peak and off-peak hours, as well as during peak and off-peak seasons. While industrial customers are charged special premiums if they use high amounts of energy for brief periods, this high industrial usage often does not coincide with the peak load demands of the utility.

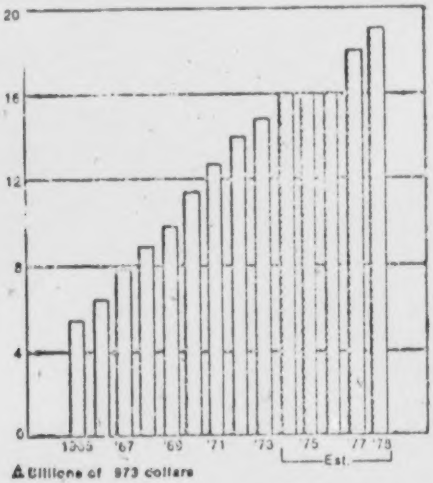
"The time of consumption of electricity is by far the most crucial element in the rate structure," says Professor William Vickrey of Columbia University. He compares the power companies' reluctance to adopt some form of peak-hour pricing "to a supermarket operator, chafing at the costs of the checkout process, and deciding to save money by simply weighing each customer's basket of goods and charging a uniform price per pound."

Vickrey feels that if consumers were charged the true cost of service—more when the utility is operating at full steam, less when it is not—they would shift a considerable amount of their electrical usage from peak hours to hours when total demand is less. This shift would smooth the peaks, reducing the capacity needs of the over-all system.

Some utilities have at least moved to a summer-winter differential. Long Island Lighting Co., which faces greater demand in summer than in winter, recently instituted a 10% higher summer rate. In general, state regulatory commissions have been prodding power companies in this direction, and W. Donham Crawford, president of the Edison Electric Institute, detects "a slight trend toward peak pricing."

Price incentives. But, peak pricing is only part of a still larger issue in utility regulation—that of offering price incentives to spur usage. This is related to the question of marginal costs. By marginal cost, economists mean the cost of producing an extra unit of output. In most industries, marginal costs and average costs have tended to equal out over the long run.

The big expansion planned by utilities



$ Billions of 1973 dollars

Data: Edison Electric Institute

Electric utilities, on the other hand, have traditionally had declining costs, with marginal costs consistently falling below average costs. One implication of this situation is that as output is increased, average costs are lowered.

Thus, electric utilities, in general, have charged lower rates where it would increase consumption and decrease costs for all customers. Industrial users whose demand is more elastic pay lower rates than residential users. The block rate structure, where users pay lower rates as their usage increases, and promotional rates for electric heating, are both based on the premise that average production costs fall as output increases.

Economists accuse utilities of faulty forecasting and inadequate rate structures

Rate structure. But economists and utility experts now believe that the electric utilities are no longer a declining cost industry, and that they should change their pricing practices accordingly. Says Irwin M. Stelzer, president of New York-based National Economic Research Associates: "It looks like marginal costs, at least for electric generation, are above average costs." And research by economists Jerome Hass and Harold Bierman of Cornell University shows that even in the mid-1960s marginal costs were only slightly below average costs and have since been rising steadily. By 1975, they estimate that marginal costs will be 35% above average costs. To a growing number of economists, all this means that the time is past when utility regulators can simply determine a rate base, decide on a rate of return, and leave the rest to the utility.

As Elizabeth Bailey, supervisor of economic analysis at Bell Laboratories, puts it: "Utility regulation has not brought about optimal pricing. The commissions must get more involved in rate structure."

In some states this process is already under way—in Wisconsin, which has long had a reputation for tough regulation, and in California. The New York Public Service Commission has, for the past few years, moved toward the leveling of rates. Most residential users in the state now pay the same rate for all the power they use, instead of a high rate for the first kilowatt hours, trailing off to a low rate as more power is consumed. Furthermore, the commission has attempted to equalize rates among different classes of customers. For example, last September it determined that the bulk-rate commercial customers "were not paying their way" and ordered sharp rate increases.

But each state has its own regulatory body, and the performance of some of the commissions has been mediocre. William K. Jones, outgoing commissioner of the New York Public Service Commission, believes that while over-all regulatory performances have improved, "in some states the decisions of the commissions are still written by the utilities. Adds Jones: "Some commissioners are more concerned with their standing in the industry. They have one eye on the decision and one eye on a possible job in the industry."

Professor Paul W. MacAvoy of the Massachusetts Institute of Technology argues for better planning of electric power facilities. In MacAvoy's view, "The development that must take place to make the industry more efficient is effective power planning beyond state boundaries. But the state commissions are powerless, the industry has not moved fast enough, and the Federal Power Commission has done a lousy job."

A national grid. MacAvoy supports the National Grid Act recently reintroduced by Senator Lee Metcalf (D-Mont.) that would establish a public corporation to provide for power planning and pooling of electricity on a national basis, though he believes that four regional grids would suffice. He estimates that the industry could reduce its future requirements by 10% by going to a regional grid system.

But the industry bitterly opposes the establishment of a "national grid." Says Crawford of the Edison Electric Institute: "Electric power systems are already interconnected with each other. These interconnections are continuously being strengthened. A national grid would be duplicative and costly." The utilities also oppose the grid because they feel more comfortable with state regulation than with the federal regulation it would bring.

Still another explanation is suggested by the recent findings of two economists, Robert M. Spann of Virginia Polytechnical Institute and Leon Courville of the University of Rochester demonstrated in separate studies that in the 1950s and 1960s utilities overexpanded their physical plant by about 10%.

This overexpansion, they explain, came because the "rate of return" constraint makes profits a function of the rate base: the larger the capital investment, the greater the total profits. Thus, another reason for opposition to a national grid may be the fear that profits may suffer if utilities end up purchasing some electric power from a public corporation rather than generating it themselves.

Obviously, things are not going to change overnight. It will take time for both the utilities and the regulators to alter their thinking. Congress seems in no hurry to buy the idea of a national power grid. But the current plight of the utilities has shocked almost everyone, the utilities included. If the economists are right about the coming drop in power demand, then the utilities probably will be willing to buy more of their thinking. ■

Chief's Report

(6) [We can also take heart when we examine the 5-year crime trend for the years 1969 through 1974. This trend shows murder decreased 5%, robbery 20%, burglary 4% and auto theft 33%.] However, as the 1974 figures show, this trend is once again definitely upward.

(7) [While crime rose so did the productivity of the police department. Arrests for Part I offenses were up 6% over 1973.] A major debate on police productivity began during the year with some suggesting that traditional methods of measuring police efficiency, such as arrest statistics, are not effective accounting tools and that more sophisticated methods are needed. During 1975 the police department will be studying several current productivity proposals and we will be placing an increased emphasis on improved efficiency at all levels of the department. A close liaison with all segments of the department, city administrators and Guild representatives will be necessary for these programs to be effective.

During 1974 there was also an increase in our level of accountability. (8) [I believe history will show these developments were appropriate steps and will greatly improve the police department's relations with the community.] During the past year we found ourselves justifying, and I might add with a great deal of success, our position on various law enforcement issues, perhaps the most significant being the drawn-out debate on police use of hollow-point bullets. Not only did the police department's position prevail, but the discussions of this issue gave the department an opportunity to attempt education of public officials and members of the community regarding police use of deadly force. Our public accountability was also increased measurably with the introduction of civilian observer on police disciplinary hearing panels.

1974 was also a tragic year. A police helicopter and a private airplane collided near Boeing Field killing four persons, including Officers James St. DeLore and James Forbes. Both of these men sacrificed their lives in public service and their deaths can only be described as tragic and premature. Officers Forbes and St. DeLore, along with Officer Fred Carr who was killed in 1973, were the first Seattle officers to die in the line of duty since 1969. The deaths of these men is a graphic illustration of the dangers that face all officers on a daily basis. These hazards are also quickly realized when one notes that assaults with firearms against Seattle police officers in 1974 rose 46% over 1973.

(9) [I believe 1974 can be looked back on as a year of frustration caused by the rising crime rate and overly lenient treatment of criminal offenders by the courts, and as a year of accomplishment. 1975 promises to be just as frustrating and rewarding.] Major issues we will face as police officers include attempts to increase police productivity, reorganization of inquest proceedings, rising crime rates and budgetary considerations. These issues, along with the others that I am sure will arise, will provide an exciting challenge to each of us. Our goal in 1975 will be attempts to improve our service to the community and to share our dedication and professionalism with those we serve.

R L Hanson

R. L. HANSON
Chief of Police

CBA 3
Unit (b)-In-Class Assessment, Part 2
Student's Name ________________________
(Please print)

Theory/Practice Curriculum in Public Administration Project

Unit (b), part 2

Spring, 1978

Instructions

The attached sheet is part of the chief's message in the Seattle Police Department's Statistical Report, 1974. In this document, several types of statements used in public agency documents have been underlined and bracketed. Below are sets of terms which are numbered to correspond to the statements. Select the term in each set that correctly describes the underlined and bracketed statement in the police chief's message. Mark the best answer by circling the appropriate letter on this test paper.

6. (a) An opinion followed by evidence to support that opinion.

   (b) Supporting evidence followed by an opinion.

   (c) General statement of fact followed by a value judgment.

   (d) Supporting evidence followed by a value judgment.

   (e) One statement of opinion followed by another opinion.

7. (a) General statement of fact followed by supporting evidence.

   (b) Supporting evidence followed by a general statement of fact.

   (c) One statement of opinion followed by another opinion.

   (d) General statement of fact followed by a value judgment.

   (e) Recommendation followed by a hypothesis.

8. (a) General statement of fact.

   (b) Supporting evidence.

   (c) Recommendation.

   (d) Opinion.

   (e) None of the above.

9. (a) General statement of fact followed by supporting evidence.

   (b) Supporting evidence followed by a general statement of fact.

   (c) Two general statements of fact.

   (d) wo statements of opinion.

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CBA 3
Unit (b)- In Class Assessment, Part 1 and 2

Answer Key - Part 1 Source

1. a.historical growth (scenario) -----------Looking Forward, entire

   b. technical fix (Scenario)

   c. zero energy growth (scenario)

2. technical fix scenario --------------------Looking Forward, p. 49

3. zero energy growth scenario ------------ Looking Forward, p. 52

4. historical growth scenario ------------- Looking Forward, pp. 44-45

5. The report does not support any of the three alternative scenarios. P. 39 states "We do not advocate one option over the others..." P. 54 states "each (path) has its own advantages and pitfalls. Our first task..is to inform outselves."

   Note: While the p. 39 citation is a clearer indication that the report does not advocate any options, either citation will be graded as a correct example of evidence supporting an informative purpose for the report.

Answer Key - Part 2

6. a
7. a
8. d
9. d

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CBA 3
Unit (c)-In-Class Assessment

Rating Scale

Student Speeches

Directions: You are to rate the style and content of the speech you have just heard using the scale given below. Please read carefully the definition of each of the five points in the scale. You are to keep these in mind as you rate the speech.

1 = not at all.

2 = inadequate

3 = adequate

4 = good

5 = excellent

Below are statements which deal with the style and content of a speech. Opposite each statement at the right-hand side, there are the numbers 1, 2, 3, 4 and 5, corresponding to the rating definitions given above. You will circle the number corresponding to the rating which you think best describes the style and content of the speech you have just heard.

---

1. Speaker defined the purpose of the speech. 1 2 3 4 5

2. Speaker limited the topic sufficiently relative to the length of the speech. 1 2 3 4 5

3. If the speaker selected a public agency problem for the presentation, use the following:

   (a) Speaker presented the causes or context of the problem. 1 2 3 4 5

   (b) Speaker examined the important components of the problem. 1 2 3 4 5

   (c) Speaker defined the undesirable consequences of the problem. 1 2 3 4 5

   (d) Speaker examined relevant strategies for solving the problem. 1 2 3 4 5

4. If the speaker selected a public agency process for the presentation, use the following:

   (a) Speaker defined the purpose of the process. 1 2 3 4 5

   (b) Speaker defined the steps in the process. 1 2 3 4 5

   (c) Speaker defined the linkages among the steps. 1 2 3 4 5

   (d) Speaker examined the effects of the process. 1 2 3 4 5

5. If the speaker selected a practice for the presentation, use the following:

   (a) Speaker defined the purpose of the practice. 1 2 3 4 5

   (b) Speaker presented the organizational basis, component units, activities and participants of the practice. 1 2 3 4 5

   (c) Speaker explained which resources and materials are necessary for the practice. 1 2 3 4 5

   (d) Speaker analyzed any differences between the intended purpose of the practice and its actual consequences. 1 2 3 4 5

6. Speaker developed the material in a logical, well-organized manner. 1 2 3 4 5

7. Speaker stayed with the stated topic of the speech. 1 2 3 4 5

8. Speaker presented data which were relevant to the point being made. 1 2 3 4 5

9. Speaker used examples and comparisons which were relevant to the point being made. 1 2 3 4 5

Rev. 4/78
CBA 3 - TPU (d)
In-Class Assessment

Spring '78

Student's Name, Last ____________ First ____________

Rating Scale for Assessing Student - Alternatives Paper

Rating Scale Code

1 = Not at all

2 = Inadequate

3 = Adequate

4 = Good

5 = Excellent

1.	Are sufficient relevant major alternatives considered?	1	2	3	4	5
2.	Are all the alternatives presented actually relevant and are there no alternatives irrelevant to the specified assignment area?	1	2	3	4	5
3.	Is each alternative presented clearly?	1	2	3	4	5
4.	Are sufficient facts necessary to understand each alternative presented or is there either an omission of relevant facts or the identification of incorrect facts?	1	2	3	4	5
5.	Are the arguments used to support each alternative or to explain its dysfunctions actually relevant to an analysis of that alternative?	1	2	3	4	5
6.	Does the writer use valid and sufficient data to support assertions, inferences and conclusions?	1	2	3	4	5
7.	Does the author cite additional sources (e.g., documents, books, interviews) where necessary to corroborate assertions, inferences and conclusions?	1	2	3	4	5

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CBA 3 - TPU (d)
In-Class Assessment (cont'd.)

Student's Name, (Last First)

Rating Scale for Assessing Student - Highlight Memoranda

Rating Scale Code

1 = Not at all

2 = Inadequate

3 = Adequate

4 = Good

5 = Excellent

8. Does the student list the major points that appear in the alternatives paper? 1 2 3 4 5

9. Are all points which in actuality do not appear in the paper omitted? 1 2 3 4 5

10. Are principal sub-ideas listed under the major points to which they pertain? 1 2 3 4 5

11. Are second-order and third-order sub-ideas listed under the relevant principal sub-ideas? 1 2 3 4 5

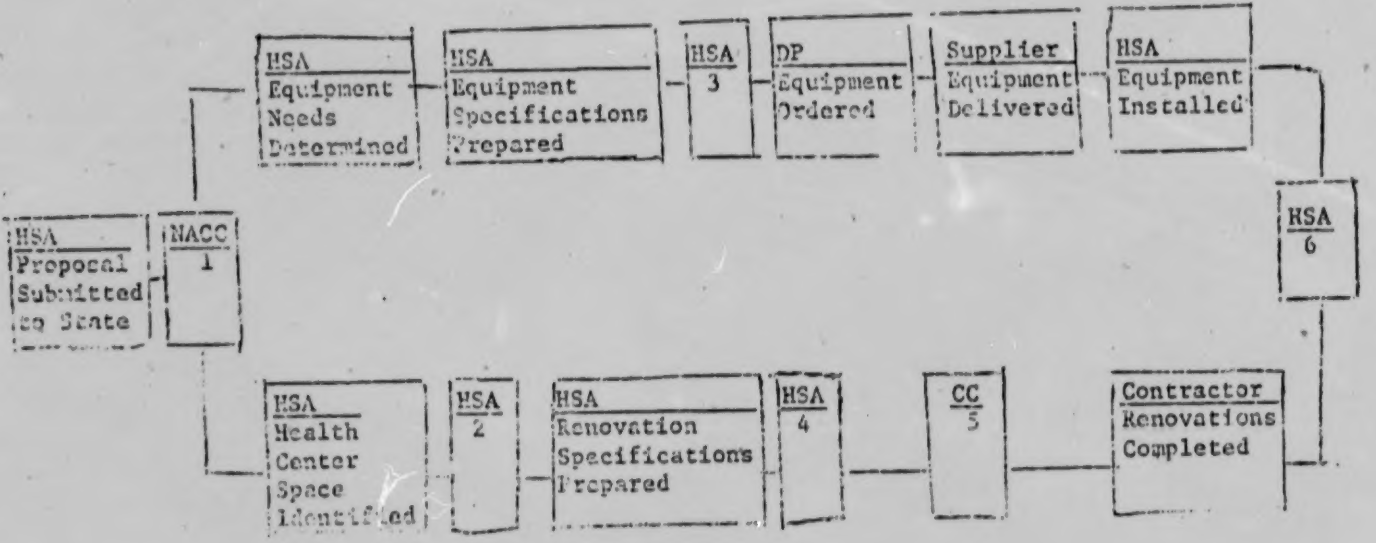
12. Are the major points listed in logical order? 1 2 3 4 5

13. Is the wording used such as to make each major point and sub-idea clear to the reader? 1 2 3 4 5

319

INSTRUCTIONS: Below is a partial network analysis. Some of the steps in the cycle are labelled. For each blank box, select the best step from the choices listed on the following page. Mark the appropriate letter on the answer sheet.

Partial Network Analysis for Opening of First Six Methadone Maintence Treatment Centers


HSA
Proposal Submitted to State
NACC
1
HSA
Equipment Needs Determined
HSA
Equipment Specifications Prepared
HSA
3
DP
Equipment Ordered
Supplier
Equipment Delivered
HSA
Equipment Installed
HSA
6
HSA
Health Center Space Identified
HSA
2
HSA
Renovation Specifications Prepared
HSA
4
CC
5
Contractor
Renovations Completed

Code

HSA= Health Services Administration
NACC= New York State Narcotic Addiction Control Commission
DP= Department of Purchasing
CC= Corporation Counsel

CBA 3 Spring '78
Unit (e) - In-Class Assessment (cont'd.)

1.
- a) Grant Proposal Written
- b) Grant Guidelines Set by State
- c) Grant Approved by State
- d) Grant Approved by Corporation Counsel
- e) Grant Approved by Federal Narcotics Commission

2.
- a) Bids Obtained
- b) Contracts Approved
- c) Space Occupied
- d) Renovation Needs Determined
- e) Personnel Procedures Established

3.
- a) Renovation Bids Obtained
- b) Equipment Bids Obtained
- c) Renovation & Equipment Bids Obtained
- d) Procedures Established for Determining Renovation Needs
- e) Procedures Established for Preparing Equipment Specifications

4.
- a) Renovation Bids Obtained
- b) Equipment Bids Obtained
- c) Renovation & Equipment Bids Obtained
- d) Procedures Established for Determining Renovation Needs
- e) Procedures Established for Preparing Equipment Specifications

5.
- a) Grant Proposal Approved
- b) Contracts Approved
- c) Specifications for Obtaining Renovation Bids Prepared
- d) Specifiactions for Obtaining Equipment Bids Prepared
- e) Specifiactions for Obtaining Renovation & Equipment Bids Prepared

6.
- a) First Six Treatment Centers Occupied
- b) All Treatment Centers Functioning
- c) Plans for Treatment Center Renovation Established
- d) Arrangements Made to Identify Treatment Center Locations
- e) Heroin Addicts Cured

Spring '78

CBA 3 - Unit (e) In-Class Assessment

Answer Key

1. (c)

2. (d)

3. (b)

4. (a)

5. (b)

6. (a)

Source: See the *complete Network Analysis for Opening of First Six Clinics Methadone Maintenance Treatment Program*, in John R. Russell's *Cases in Urban Management*, pp. 275-276.

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In-Class Assessment-Unit (f)

Theory/Practice Curriculum in Public Administration

Instructions: Below are five sentences. Label each "a" if it is true. Label it "b" if it is false. Mark the appropriate letter on the answer sheet.

1. The American constitution specifically guarantees freedom of speech, freedom of the press, and the public's right to know.

2. Bennis argues that it is difficult to set a clear demarcation between necessary confidentiality and the evil of secrecy so it does not matter what type of character a public administrator has.

3. Progressive states like New York and California are the only ones to have sunshine laws.

4. Internal agency memoranda are exempt from the federal Freedom of Information Act's provisions.

5. Agency budgets are exempt from the provisions of the federal Freedom of Information Act's provisions.

Instructions: Below are four court decisions relating the Freedom of Information Act or various state sunshine laws. Lavel each "a" if the decision would please a proponent of increased openness in agencies. Label each "b" if the decision would probably not please such a proponent.

6. A New York State Supreme Court judge has ruled that a county board may close its planning session to the public.

7. A court rules that members of a public body may not discuss policy issue if the members happen to meet on the golf course.

8. A court rules that a federal agency must make all the papers dealing with Ezra Pound's confinement as insane available to researchers on Pound's poetry.

9. A court rules that a zoning board can bar reporters from all sessions that are not "formal" meetings.

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Unit (f) - In-Class Assessment

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Answer Key   Source

1. b------------------ Emerson, pp. 395-396

2. b------------------ Bennis, p. 20

3. b ------------------ Goldman

4. a ------------------ Porter

5. b ------------------ "

6. b ------------------ case cited in Goldman

7. a ------------------ case cited by Goldman

8. a ------------------ case mentioned in class discussion

9. b ------------------ case cited by Goldman

Glossary

Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977

Terms for a Glossary

Government Communications

1. Abstract: a summary or condensation of a written or oral presentation. The abstract identifies major points and most important sub-ideas in conventional sentence/paragraph form. In at most 1 page , an abstract gives readers the essential ideas contained in articles, pamphlets, books, etc.

2. Accountability: the quality or state of being controlled. In democratic theory public bureaucracies are subject to the control of elected officials who are themselves held accountable to the people through periodic elections. In practice, the extent of public agency accountability varies based in part on the function and context of a given bureau and the resources and personality of a given political official.

3. Alternatives Paper : a paper which delineates alternative policies, plans or practices which a public agency can pursue in a given area, identifying arguments for and reasons against pursuing each alternative.

4. Audience: a group of listeners or readers. To be effective, a written or oral communication must take into account the background, tastes, knowledge, values etc. of the audience for which it is intended. The audiences for presentations on public affairs can range from small elite groups of public administrators or legislators to the general public. A distinction can be drawn between the "intended audience," i.e., the listeners or readers for whom the communicator produced a given communication and the "actual audience ," i.e., the listeners or readers who do read or hear the work.

5. Channels of Communication: the means by which information is communicated, e.g., speeches, books, articles, reports, television stations, etc.

6. Communication: an exchange of information. The process of communication requires a communicator, information to be communicated, channels of communication and an audience.

7. Communicator: the person or organization transmitting information.

8. Congruent: in accord, coinciding. In transmitting information, the communicator must ascertain that the style and content are congruent with the educational level, values, interests, etc. of the intended audience. Since the intended audiences for presentations on public agency plans, policies and practices will vary depending on the nature of the communication, there is no one "best" style and content for all public agency communications. To be effective as a communicator , the public administrator must vary style and content to coincide with important characteristics of the intended audience.

9. Content: the topic or information contained in a given communication. Every communication has both content and style.

10. Efficiency: effective operation as measured by a comparison of production with cost, measured in terms of time and money. The exact relationship between openness in agencies and efficiency has not been determined but there can be tensions when a public agency wants to be both open and efficient. The problem is made more complex because it is sometimes difficult to define "production" in human-service agencies in quantifiably measurable terms, and therefore, it is difficult to measure efficiency.

11. Face-to-Face Communication: oral communication between a communicator and audience who can exchange ideas and interact with each other. Social scientists consider face-to-face communication a particularly effective channel for presenting ideas because it permits feedback to the communicator and continued modification of the communication to make it congruent with the audience's background and values.

12. Flow Charts: a type of diagram which can be used to depict public agency processes. A flow chart depicts in chronological sequence, the essential steps or stages in a given agency process. For each step, alternative actions (if available) are identified along with the consequences of each in terms of the completion of the process.

13. Freedom of Information Act(s): Legislation openning to public access all government documents which are not specifically classified as unavailable (for reasons which principally include national security and privacy). Federal and state Freedom of Information Acts generally mandate the agency must respond to requests for information in a reasonable and specified amount of time and make documents available at a reasonable and specified cost.

14. Highlight Memorandum: a summary or condensation of a written or oral presentation. The highlight memorandum identifies major points and the most important sub-ideas in the form of a topical outline. In at most 1-2 pages, a highlight memorandum give readers the essential ideas contained in books, pamphlets, reports, etc.

15. Position Paper: a paper advocating one particular position relating to a given public policy, plan or practice. The paper states one position from what may be a wide universe of plausible alternatives and then delineates arguments in support of its adoption.

16. Press Release: a prepared statement released by public agencies to the press. The material in press releases can relate to any plan, process, practice or activity the agency wants publicized. Some press releases summarize longer agency documents e.g., a public agency's progress report. Newspaper editors often further summarize and condense the contents of the press release before publication.

17. Progress Report: an informational document. A progress report describes an ongoing activity (or set of activities) of a public agency. The report generally identifies the purpose of the activity (its goal and objectives), accomplishments to date in terms of meeting the goals and objectives, problems encountered, solutions (or partial solutions) to the problems encountered and the need (if any) to revise plans. Annual reports of public agencies contain this type of information.

18. Selective Exposure: the process whereby people tend to read and listen to communications which reinforce their own positions and opinions. Republicans, for example, are more likely than Democrats to watch a Republican Party Chairman on television. It is often difficult to change people's minds about controversial issues such as welfare reform, arms limitation, etc., because people tend to ignore articles, books and other communications which they think advocate a position that is contrary to their own.

19. Selective Perception: the process whereby people tend to distort the meaning of what they actually see and hear so that the communication is consistent with their own prejudices. In a famous experiment, Patricia Kendall showed subjects a picture of a white man and a black man fighting on a train. The white man had a razor. In feedback sessions, many subjects described the white man as unarmed and the black man as holding a razor.

20. Selective Retention: the process whereby people tend to remember communications which have pleasant connotations and/or with which they agree and to forget communications which are unpleasant, confusing, unclear and/or with which they differ, i.e., hold an opposing view.

21. Style: the manner or tone of a given communication. Every communication has content and style.

22. Summary: an abridgement of a written or oral presentation. See abstract and highlight memorandum.

23. "Sunshine" Law: legislation opening the offical meetings of specified governmental bodies to the public. Sunshine laws are drafted to increase openness in government, e.g., New York State's Sunshine law explains "it is essential to the maintenance of a democratic society that the public business be performed in an open and public manner."

Notes on Required Reading

A number of the items omitted can be readily replaced through the development of instructional materials by faculty or the acquisition of comparable materials from appropriate agencies or quasi-public agencies of relevance to a particular instructional program or the perspectives of students in a program. Some of the items omitted are described below; others appear to be self explanatory, based on the title. In selecting appropriate substitute materials, assessment method and criteria for the unit in which they appear are appropriate guides, as well as student assessment items included in the pre/post test and in-semester evaluations.

TPU (a)

1. Simon, Herbert A. et. al. "The Communication Process," in Richard J. Stillman (ed.) Public Administration: Concepts and Cases (Boston: Houghton Mifflin, 1976), pp. 177-183. This excerpt from Simon et. al.'s influential text (Public Administration (New York: Alfred Knopf, 1950) succinctly summarizes the communication process in public agencies. Elements of the public agency communication system and process are defined. The importance of the communication process for decision-making and adequate control is explored. Barriers to effective communication are delineated. The Simon article summarizes the basic material of this TPU in an extremely clear, readable prose.

TPU (b)

1. New York State Commission on Energy Policy. Establishing an Energy Policy for New York State, 1975. A report prepared for the New York State Commission on Energy Policy by the commission's scientific advisor. The report develops an open-ended plan whereby New York State can continue its economic growth while simultaneously diminishing its dependence on petroleum, eliminating its need for additional nuclear fission plants and reducing pollution. The report contains recommendations for legislation that would have to be enacted in order to implement the plan.
2. Department of Social Services (New York State). Annual Report, 1974. This agency document records the activities of the agency in 1974.

This TPU develops the ability to analyze public agency documents, and related reports on public policies. Accordingly, the instructional resources are actual public agency and public policy documents which students analyze in terms of communicator, audience, purpose, contents, and component parts. Students analyze two types of documents. They analyze a policy document which advocates the adoption of a particular alternative in an substantive policy area. They also analyze a report of ongoing agency activities (e.g., a quarterly or annual report). The two resources are samples of these types of documents. The energy report explores a particular policy alternative in a vital and controversial policy area. The Department of Social Services report examines activities in an agency where many of the students at Medgar Evers College are employed and so has particualar relevance to them. Similar resources from other public agencies can be substituted by instructors at their discretion.

TPU (c)

1. Packet A: Contains excerpts from four speeches delivered by high-level administrators of social service or community development agencies on various occasions. The class concentrated on contrasting the style and content of two speeches: one given as testimony before a federal legislative subcommittee and and the other given before a dinner meeting of the Federation of Protestant Welfare Agencies. Both speeches deal with public agency concerns but the styles are quite distinct. A central purpose of this unit is to develop in students the ability to prepare speeches and other oral presentations which are congruent with a specific purpose and audience and to realize how "correct" style and content varies with purpose, place and time. The instructor can

Notes on Required Reading (cont'd.)

TPU (c) cont'd.

substitute other public agency speeches which would be conducive to developing this ability.

TPU (d)

1. "In-House Public Agency Formats." This handout was prepared by the Theory/Practice Curriculum Project. The first part consists of a sample highlight memorandum, abstract, position paper, alternatives paper and progress report. (The highlight memorandum and abstract summarize Establishing an Energy Policy for New York State which was an instructional resource in TPU (b). The position paper, alternatives paper and progress report were written for the project and deal with increasing federal aid for mass urban transportation and related concerns.) The second part of the handout contains an analysis of the five in-house agency formats presented in part #1, examining how each was written and how one goes about writing effective in-house written presentations.

2. Energy Policy Project of the Ford Foundation. Exploring Energy Choices (Washington, D.C.), pp. 1-8, 39-54. Several years ago, the Ford Foundation funded a study of various alternative scenarios for surmounting the approaching energy "crisis." These selections from the Ford Foundation study describe three alternative scenarios for our future energy consumption, analyzing each in terms of its own advantages and disadvantages. This resource gives students a solid example of how to handle written presentation of policy alternatives and a delineation of their advantages and disadvantages.

3. National Consumer Congress. Energy Conservation. A position paper written by a political interest group.

4. President Ford's 1975 State of the Union Message. This copy of the president's address is given to the students with a Fact Sheet that summarizes the speech in outline style. Students can see how an outline can be used to effectively summarize a complex and lengthy written document.

5. Department of Health, Education and Welfare, Administration on Aging. Let's End Isolation, 1974. This public agency document examines a number of alternative programs which can be implemented in order to alleviate the isolation of older Americans.

6. Federal Personnel Management Project. "Job Evaluations, Pay and Benefits Systems - Option Paper #6." (Washington, D.C., U.S. Government Printing Office, 1977), pp. 16-24. This public agency document is a good example of a public agency alternatives paper.

TPU (d) develops abilities relating to development of written in-house presentations. The instructional resources, therefore, are examples of effective highlight memoranda, abstracts, position papers, alternatives papers and a progress report. Since the students in the pilot class develop their own highlight memoranda and alternatives papers, the resources concentrate on these two formats. Instructors can substitute other examples and, if students are developing position papers or progress reports, might want to add further resources in these areas.

Notes on Required Reading (cont'd.)

TPU (e)

1. Training House, Inc. "Flow Chart for Changing a Tire" This flow chart diagrams the various steps necessary to complete the process of changing a tire. For students without much familiarity with flow charts, this example demonstrates how the form works with a familiar, everyday process.

2. Addiction Services Agency (N.Y.C.). "Training Cycle Flowchart." A public agency flowchart.

3. Community Development Agency (N.Y.C.). "Program Revitalization Project Flowchart." A public agency flowchart.

4. John Russell, Cases in Urban Management (Mass.: MIT Press, 1974), pp. 274-277. These pages include a network analysis and related descriptive material in connection with the opening of six methadone maintenance centers in New York. This resource gives students an opportunity to analyze a network analysis.

Since the purpose of this TPU is to develop abilities relating to flowcharts, these resources were selected: a flowchart of an everyday process where the process itself would be familiar to many students; flowcharts of public agency processes; and a network analysis. Instructors may substitute other effective examples of each type.

TPU (f)

1. Sylvia Porter. "Your Right to Know," New York Post (Dec. 17, 1974). This brief newspaper article identifies the key provisions of the federal Freedom of Information Act.

2. Frances Cerra. "New York's Information Law Termed in Need of Overhaul," New York Times (May 23, 1976). This brief newspaper article identifies some problems that arise in enforcing the Freedom Information law.

3. Ari Goldman, "The Sunshine Laws Do Not Uniformly Let Sunshine In," New York Times (April 10, 1977). This brief newspaper article identifies key provisions of sunshine laws in a number of states and analyzes some problems which may arise in relation to their enforcement; the role of the court system in interpreting the sunshine laws is explored.

4. Thomas Emerson, "The Danger of State Secrecy," Nation (March 30, 1974). A constitutional and legal analysis of the dangers of secrecy practiced by the executive branch. The author calls for strict legislation to end excessive st state secrecy.

5. Warren Bennis, "Have We Gone Overboard on "The Right to Know"?" Saturday Review (March 6, 1976). An analysis of Freedom of Information Acts and sunshine laws that focusses on the difficulty of their enforcement and the ways in which they may impede a public agency's ability to perform its legislatively-mandated functions. The author of this article concludes that legislation is not the answer; in the end, the character of the individual public administrator is more important in determining whether openness will be practiced.

Notes on Required Reading (cont'd.)

TPU (f) cont'd.

The first three short articles were selected to give students a concise, factual statement relating to current federal and state legislation to prevent public agency secrecy. The Emerson and Bennis articles were chosen to reflect contrasting views regarding the necessity and usefulness of legislation designed to increase openness.

ESTABLISHING AN ENERGY POLICY
FOR
NEW YORK STATE — 1975

A Report to the

New York State Legislative Commission On Energy Policy

by

James Monroe

Scientific Advisor

Unit (d)

PACKET "C"

IN-HOUSE PUBLIC AGENCY FORMATS

Developed by the Theory/Practice Curriculum Project
Institute of Public Administration
Division of Social Science
Medgar Evers College

This was done under a grant from the Fund for the Improvement of Post Secondary Education (FIPSE), U.S. Department of Health, Education and Welfare.

ABSTRACT

New York CAN continue its economic growth while simultaneously diminishing its dependence upon petroleum, eliminating its need for additional nuclear fission plants and reducing pollution. Such a plan does not hinge on the development of some new technology or energy source (such as fusion), but rather is based on the prudent application of available technology, on the use of hitherto undeveloped energy resources within the state, and on a serious conservation commitment. ENERGY CONSUMPTION SHOULD BE REDUCED TO AS LOW A LEVEL AS IS POSSIBLE THROUGH CONSERVATION MEASURES WHICH DO NOT IMPOSE SEVERE ECONOMIC HARDSHIP, AND THEN NON-POLLUTING ENERGY SOURCES SHOULD BE SUBSTITUTED FOR POTENTIALLY DANGEROUS OR POLLUTING SOURCES OF ENERGY TO AS GREAT AN EXTENT AS POSSIBLE.

Conservation efforts which do not disrupt production can cut projected energy use by 40% in the next twenty years. Linked to this conservation effort would be the non polluting or low pollution indigenous energy sources: energy from wastes and refuse, energy from forest products, solar energy, and wind energy. Each of these sources would contribute only a small percent of the total energy over the next twenty years, but the sum of all these small contributions results in a significant total. (See Chart IV) Additional benefits would be independence from outside energy supplies and the employment of people within the state, rather than a dollar outflow to produce energy.

Some reorganization of state agencies is suggested. For purposes of research and development of energy technologies important to our state, it is proposed that the present New York Sate Atomic and Space Development Authority (ASDA) be changed to the New York State Energy Research and Development Authority (NYSERDA) with changes in its functions, funding and membership. A second agency, the Office of Energy Utilization and Conservation, is proposed for establishing and enforcing efficiency standards and assessing needs for new regulations and technologies.

The overall plan is open-ended; should a technology fail to develop rapidly enough, other proven energy sources would be available to take up the gap.

As other undeveloped sources (fusion power, ocean thermal gradient or geothermal) become practical as energy sources, they can be brought into the energy market and further reduce our dependence upon petroleum and coal.

Sample Highlight Memorandum

I. An Energy Policy for New York State.

A. The problem.

1. Current profligate use of energy.
2. Increasing pollution.

B. The approach.

1. Serious conservation commitment.
a. Dependence on petroleum diminished.
b. Need for additional nuclear plants eliminated.
c. Pollution reduced.
2. Application of available technology.
3. Use of the state's undeveloped energy resources.
4. No imposition of severe economic hardship.

II. Strategies for Energy Use and Development.

A. Energy use cut by 40 per cent in next twenty years.

B. Indigenous development of non-polluting or low pollution energy resources.
1. Sources include:
a. Wastes and refuse.
b. Forest products.
c. Solar energy.
d. Wind energy.
e. Geothermal energy.
f. Ocean thermal gradient.
g. Fusion energy.

2. Policy rationale:

a. Independence from outside supplies.
b. Employment opportunities for state's workers.

III. Reorganization of State Agencies.

A. Restructuring of New York State Atomic and Space Development Authority (ASDA).

1. Functions expanded to include R&D in all energy areas.
2. Name changed to New York State Energy Research and Developme
Authority (NYSERDA).

B. Creation of Office of Energy Utilization and Conservation.

1. Establishes and enforces efficiency standards.
2. Assesses need for new regulations and technologies.

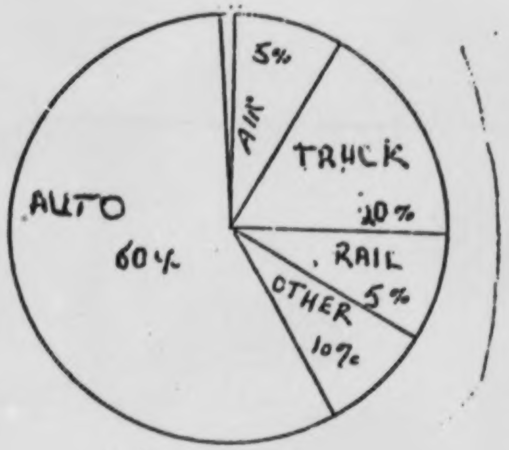
IV. Conclusions - open-ended nature of the plan.

POSITION PAPER

In Support of Increased Federal
Spending on Mass Urban Transportation

The automobile, which has become almost a symbol of the freedom and prosperity of twentieth-century American life, is in actuality a primary cause of energy waste and urban pollution. If American society is to make a serious commitment to the conservation of energy, we must make a concomittant commitment to decrease our dependence on the automobile in favor of more efficient transportation modes. Unfortunately, during the last two decades, the federal government has encouraged widespread automobile use and has not contributed to the development of mass transportation systems within and between urban centers. The time has come for the federal government to increase its contribution to the development of these mass transportation systems. The following paper elaborates on the widespread nature of automobile use in America today; the contribution of the federal government to encouraging such use; three problems associated with automobile use and a concomittant rationale for encouraging the development of mass transportation systems; and an overall approach to increasing the federal contribution to their development.

The largest energy user in the transportation sector today is the automobile, accounting for approximately sixty per cent of energy used.[1] (See Chart I.) Eight out of ten American households now own [illegible] Energy Use in the Transportation Sector



Source: N.Y. State Commission on Energy Policy

Chart I

at least one car; three in ten families have two cars and one in ten has three or more. Total miles driven in automobiles has at least doubled every year since 1940, reaching 1.2 trillion miles in 1972. (See Chart II.) While public transportation use steadily declined,

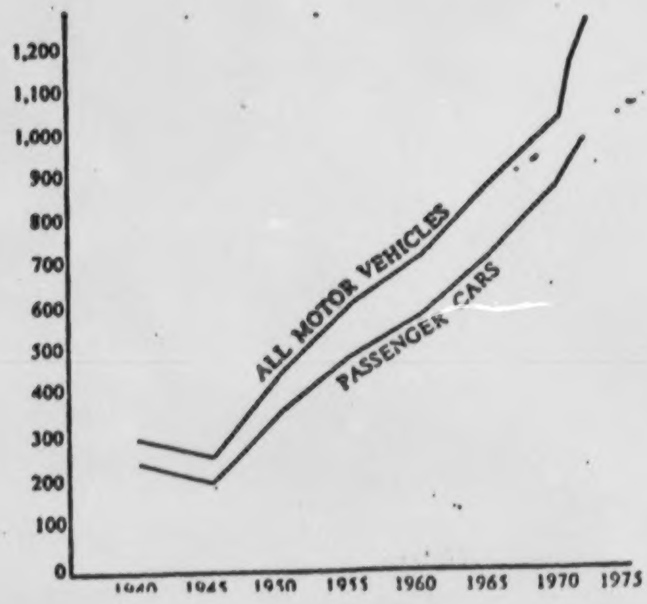


Figure 3

Growth in Vehicle Miles: 1940-19
(billions)

Source: Motor Vehicle Manufacturers Associa automobile use increased continuously since the end of World War II. Automobiles now account for over ninety-five per cent of travel within cities and over eighty-five per cent of travel between cities as well. Busses and trains - the most efficient energy conservers - account for only three per cent of passenger traffic between American cities.[2]

The heavy reliance on the automobile is primarily the result of the mass exodus to the suburbs beginning in the 1950's. Commuters found it most convenient to move from home to job and job to home by automobile. In the newly-affluent postwar society, city dwellers also became dependent on the automobile.

Legislators from suburban districts and automobile-industry lobbyists pressed for the passage of legislation which would increase the ease and comfort of automobile travel, particularly through the creation of a network of well-kept, easily-traversable roads and highways. In 1956, Congress passed the Federal-Aid Highway Act, which has been characterized as "a major breakthrough for urban highways."[3] The act established a multibillion dollar highway trust fund which was to be spent on the development of inter- and intra-state highways and roads. None of this money was to be spent on the development of subway, train or bus systems for the country. The federal highway program became the single largest and most visible program affecting the physical development of the nation's rapidly-growing metropolitan areas. Highways were built which encouraged commuters to buy cars since most suburbanites now enjoyed easy access from their homes to their jobs. There was little new money available for building subway or rail networks which could also have connected the suburbs with the inner-city. Since use of mass transportation was therefore less convenient--certain suburbs were not connected directly with the city by any mass transportation system and where mass transportation did exist, there were few trains and so they were relatively crowded--fewer commuters used these mass systems. The federal government's creation of a highway trust contributed directly to the extension of widespread automobile use.

In 1956, energy conservation and air pollution were not high priorities on the national agenda. Today they are. Scientists measure energy consumption in "Btus," the amount of energy needed to raise one pound of water by one farenheit degree. Automobiles, on the average, consume an average of 8,100 Btus per passenger mile; urban mass transportation consumes less than half that amount.[4] Dr. Stanley Weinberg, Associate Director of the Fargo Energy Institute says, "If the nation is to conserve energy and promote its rational use, we must decrease our reliance on the automobile."

Automobile use also contributes to urban pollution. Recent testimony before Congress indicates that desired auto emission standards are a carbon monoxide level of nine grams per mile and a nitrogen oxide level of two grams per mile. Yet Dr. Weinberg says that in his ongoing research with Dr. Carmen Lopez, Assistant Director of the Fargo Energy Institute, mass transportation systems are shown to emit an average level of six grams of carbon monoxide per mile and .8 grams of nitrogen oxide per mile.

A national government with a serious commitment to energy conservation and the dimunition of pollution should be making a genuine effort to increase the use of mass transportation systems. Yet questions of energy are not the only questions which bear on the debate. The federal government's commitment to subsidizing highway construction at the expense of mass transit development implicitly means a federal government commitment to developing those transportation systems which are most convenient for the middle and upper classes and which are least available to the poor.

While automobile ownership is widespread in our society, a middle class family is still more likely to own a car than a poor family. Eight out of ten American households may own at least one car, but only four out of ten poor households do.[5]

The poor are heavily dependent on mass urban transportation. While auto use has increased drastically, as we have seen, and while the private and public dollar has also increased use of the highway systems around the country, mass urban transportation has declined. The decline is apparent in New York where service has been reduced because of the fiscal crisis and where subway cars are crowded by the "designs" of grafitti experts. Subway car age has increased markedly over the past few years; the accident rate has also jumped. Because the poor are the most dependent on mass transit, they are the primary victims in its decline. When the federal government decided to subsidize highway construction at the expense of developing better mass transportation systems, it gave de facto aid to the suburban commuters who were precisely those people who were, at least financially, most able to help themselves. The poor were given inequitable transportation choices. Without cars, without adequate mass transportation to reach job-sites, they often could not avail themselves of job opportunities in suburban or exurban factories.

What can be done? How can the federal government show its commitment to a genuine energy policy and at the same time equalize the transportation alternatives offered to the low-income family?

1. Abolish the Highway Trust Fund. Monies revert to the general treasury.

2. Establish a Mass Transportation Development Corporation. Congress legislates tough fines ($100+) for cars which violate 55 mph national speed limit; new automobiles taxed heavily according to their gas mileage. Monies from these sources used to fund Transportation Development Corporation.

   Transportation Development Corporation will fund
   the development and implementation of mass transport
   systems both within cities and between urban
   jurisdictions. Money will be available for building
   subway or above-ground systems. The urban mass-
   transit capitol grant assistance program will
3. have the long-range goal of providing every metro-
   politan area with efficient rail transportation.

   Transportation Development Corporation will also fund scientists who are doing research in the development of mass transportation systems and energy-saving technologies useful for such systems.

At a time of concern over our energy-resources and mounting concern about the plight of the poor in the inner-cities, it is retrograde for the federal government to be pursuing a policy of support to highways and automobiles. The revival of mass urban transportation is a national imperative. It will count as one step towards revitalizing the cities. When mass transit improves, people want to live closer to their jobs, in the city. And if there is a tendency in this direction, housing will improve--other services will improve.

An eminent philosopher once said, "Nothing is as strong as an idea whose time has come." The exigencies of American life in the 1970's are not the same as those facing Americans in the 1950's. The time for federal support of highways and automobiles has passed. The time for federal support of mass urban transportation has come.

ALTERNATIVES PAPER

Alternative Organizational Patterns and Plans for the Community Development Agency's (CDA) Campaign to Increase Federal Spending for Mass Urban Transportation

Background

The widespread dependence on the automobile in contemporary America is an important cause of energy waste and urban pollution.

According to a report published by the Ford Foundation, entitled Energy Policy Project of the Ford Foundation: Exploring Energy Choices, automobiles consumed an average of 8,100 Btu's (an energy unit) per passenger mile in urban transit in 1970, while urban mass transit consumed less than that that amount. Since 1970, the figure has increased.

This report says that the use of the automobile within the city is excessively high as well; eight out of ten American households now own at least one car, as do half of all poor households. City dwellers have become dependent on the car for transportation to work, for transportation to outlying shopping malls and for recreational purposes.

The average car gets fewer miles per gallon (MPG) now. In 1958, according to the Ford Foundation report, the average American got over 14 miles per gallon, that figure dropped to 12 miles per gallon by 1973. This drop in gas mileage is directly linked to the increase in auto weight. These two factors, the vast increase in the number of automobiles that are used to commute to cities and for transportation within cities and the decrease in average miles per gallon creates problems of pollution.

safety, noise, and in general spoils the quality of life of the urban community.

Additionally, Federal policy has traditionally supported the production of automobiles. It has not prevented, to any wide extent, that tremendous consumption of energy and the consequent damage to the environment that the automobile creates.

In 1975, for example, under President Ford, there was a withdrawal from the original standards set for automobile emission, while at the same time, there was very little support for expansion and improvement of mass transit.

All of this has particular significance for the poor who are locked into the inner city and are therefore exposed to the high levels of pollution and are vulnerable to the health hazards and dangers of the automobile.

Additionally, the poor are very dependent on mass transit because of their economic situation. As a result, they are victims of all the deficiencies in the mass transit system.

Because of the difficult position of the poor in this area and because the Community Development Agency is the major advocate of the poor in the city, it is imperative that this agency take a strong stand for increased Federal funding of mass transit in particular but also expand its activities to improve the inner city environment in general.

Chart I: Alternative Patterns Pursuant to Securing Federal Support for Mass Transit

Using CDA Resources/Personnel	Using (in whole or part) Outside Resources/Personnel
1. Development of a task force	1. Development of Environmental Committee attached to Council Against Poverty
2. Development of an Energy Unit	2. Development of plans to seek outside funding for special environmental projects
	3. Influence on other agencies to work to secure federal support for mass transit

The Community Development Agency has limited manpower resources. Therefore, the first problem that the agency faces is how best to use the available personnel. The remainder of this paper identifies five alternative ways in which CDA could inaugurate efforts to secure federal funding for mass, urban transportation. These alternatives include: development of a task force, composed of CDA personnel; development of a CDA Energy Unit composed of agency staff members; development of an environmental committee attached to the Council Against Poverty; development of plans for seeking outside funding to study the problem of mass transit; and use of the CDA commissioner's office to move other agencies to advocate increased funding of mass transit. The last three alternatives rely in whole or part on outside resources. (See Chart I above.)

Alternatives

Alternative One: Develop a task force made up of CLA staff and other Community Action staff. The advantages of this stratgey are many. The task force can develop a fact sheet that would describe all the disadvantages of automobile use in the city: pollution, dangers to sfaety and health and the consequent advantages of mass transportation.

It can also indicate the ethnic breakdown of ridership as close as possible. This sort of breakdown should demonstrate that the poor are being victimized as a class by inadequate mass transit. The task force can also present the problem at a delegate agency meeting and select local coordinators who could disseminate information, organize action groups, set up meetings with local politicians, etc. Brochures could be distributed at this meeting that could graphically describe the problem. The task force could be an activist group with respect to the media in attempting to raise the public consciousness on this issue. It could have a formal role with regard to the Mass Transit Authority and perhaps seek a meeting with William Ronan to lend its support for increased Federal funding of mass transit. A conference could also be arranged that would bring together experts in the mass transit field and Community

Action staff and board members, as well as individuals from other agencies interested in this problem.

The disadvantages of this strategy would be the relative ignorance and lack of expertise of CDA in the energy field. Other than for the Weatherization Program which has been basically coordinated by one individual, CDA has no former committment to energy issues nor has it had the capability. An extensive training program would have to be mounted for task force members. CDA leadership would also have to be extensively briefed on the nature of enviornmental issues. Also, at this time CDA is very pressed in other critical areas: food stamps, unemployment, local school board elections, board elections for Corporations and delegate agencies, and its other usual functions in economic development, housing, education and manpower.

Alternative TWO: Set up a CDA Energy Unit with a minimal staff, say one Coordinator and one Secretary. This unit would undertake all the proposed functions of a task force on mass transit but would also attempt to deal with other enviRonmental issues. The advantage of this unit would be that full time staff would devote their full energies to these issues and develop relationships with other individuals and agencies dealing with energy problems. The disadvantage is that it is questionable how extensive an effort could be with only two people. A fuller staff, with maybe three or four professionals, would be more ideal.

Alternative Three: Set up a special committee of the Council Against Poverty that would deal particularily with mass transit and generally with environmental issues. This committee could send out policy statements on issues, set up press conferences, establish negotiations with politicians (some of whom are represented on the Council) and channel information on issues through CouncilAgainst Poverty area representatives.

This approach has the advantage of treating the problem with little manpower effort (the Council is a voluntary body). The disadvantage of course is that the problem cannot be dealt with in an extensive way-- and educational activities such as producing a fact sheet and brochures could not be undertaken. Such a big event as a conference could also not be planned.

Alternative Four: Hire a consultant who would write a proposal to study the problem of mass transit and the poor and seek funding that would be attached to CDA or one of the Community Corporations or delegate agencies. The advantage of this approach is that it is objective oriented. It has a single purpose, and therefore may be more easily realized. The other advantage is that funding being sought is from an outside source and therefore the proposal would not need CDA financial support. One disadvantage is that the proposal might not be funded, and that if funded there might be acute conpetition over what agent receives the funding.

Alternative Four: If CDA cannot deploy staff for this effort, the Commissionercan use his official position to move other agencies and politicians to advocate increased funds for mass transit. He could conceivably meet with William Ronan to discuss mass transit and the poor and advocate increased Federal support. The Commissioner could also seek to form an alliance of agencies and groups on this issue and other environmental issues that would act as one voice to seek funds, etc.

The advantage of this approach would be that the power of the Commissioner's office would be used to bring other agencies into the fight for increased funding. The disadvantage would be that policy making and decision locus would shift from CDA to the other agencies -- if they were interested in the effort.

PROGRESS REPORT: CDA ENERGY UNIT

In the past quarter, it has become clear that the energy crisis as it relates to the poor has become a paramount issue for this agency. With that in mind, the Community Development Agency has established an Energy Unit. The purpose of the Energy Unit is to increase the energy conservation and consumption options available to the poor. Specifically, the Energy Unit seeks to educate the poor concerning energy conservation and concomittant economic savings; to increase the weatherization-insulation of dwellings in poor neighborhoods; and to seek outside sources of funding for additional energy-related projects.

The Energy Unit consists of three separate offices, each supervised by a specialist in a particular energy-related area. These include a Consumer Specialist to educate the poor on energy conservation and how to save money as a result, a Weatherization Specialist, to coordinate the Weatherization program for the city of New York and to seek expanded funding for this program and a New Projects Specialist, to investigate new directions in energy conservation, seek grants and other sources of funding and develop and initiate programs that relate to energy conservation and the po

The Coordinator of the Energy Unit has responded well to the increased capability of the unit and his increased responsibilities. Not only does he remain the major conduit through which our Community Corporations and delegate agencies receive information about energy conservation and the poor but he has also taken on a more programmatic role in coordinating

In the last quarter the Energy Unit was able to act on its initial objectives. The Consumer Specialist compiled an energy profile using a cross section of poor consumers, showing average utility consumption and cost, kinds of consumption (what appliances electricity is used for, etc.), and average number of complaints on electricity and gas usage.

The profile was developed through interviews of poor clients by staff at Community Corporations and delegate agencies under the direction of the Consumer Specialist and through surveys that were distributed doorto door in selected communities.

The profile demonstrates that on average the cross section of the poor consumed less energy than an average middle class consumer. It also demonstrates, however, that in terms of percentage of income, the cross section of the poor pay for a greater percentage of their income on energy than does the average middle class consumer.

The Consumer Specialist submitted the profile with an attached report on findings to the Department of Consumer Affairs, Con Edison, the Brooklyn Union Gas Compnay, the Public Service Commission, the Attorney General's office, the National Consumer Information Center and other consumer advocate groups.

The Consumer Specialist is advocating for an expanded educational program by the above utilities, agencies and organizations, to be particularly focused on the low-income consumer. At the same time he is working very diligently to organize cadres of Community Action workers on the local level to distribute brochures and generally to form resource centers for information and education.

On another level, the Consumer Specialist is attempting to negotiate with the Department of Consumer Affairs for one of their staff to be outstationed in order to provide assistance to the poor who have complaints of an energy related nature. This is in keeping with the agency's thrust to extend itself to other agencies in order both to enhance its own services to the poor as well as to encourage other agencies to provide services directly.

The Consumer Specialist is also planning an exhibit to be mounted at CDA that would deal with energy conservation and the poor. He is currently contacting delegate agency and Corporation staff as well as relevant agencies to create exhibits. The projected date is some time next quarter.

The Weatherization Specialist is very busy acquainting himself with the various weatherization projects around the city. He was formerly the Housing Coordinator for CDA with one of his many responsibilities being the Weatherization Program. However, it became clear that as this program was expanding with increased funding and as projects were proliferating around the city, one person would have to assume full responsibility for overseeing and coordinating. The specialist's first task was a full report on each project: success, failures, needs. As part of this report, he also did a complete inventory of materials each project has on hand. The report indicated that though each project is operational, there are large differences between accomplishments. This is primarily between projects and size and effectiveness of project staff.

In addition, the specialist made recommendations on developing effective projects based on materials and manpower available. He indicated that building insulation was a priority and that energies should be directed towards this.

As the specialist was putting this report together, he was also very involved in seeking an extension of the current grant. He was required to put together a short narrative and complete certain forms on the projects. He requested additional funding for manpower and materials, but was discouraged by the funding source from making that figure too high. He anticipates that next year's funding will be more flexible.

Because of the current funding restrictions, much of his effort during the last quarter has been to begin a search for other monies. He has developed a checklist of agencies, institutions and foundations and begun contacts particularly with such foundations as Ford and Rockefeller. There seems to be at least a degree of interest from Ford.

The New Projects Specialist has been very busy with a questionnaire that was sent to Corporations and delegate agencies dealing with energy issues and priorities. He is attempting to get a feel of what the poor consider important energy topics. At the same time he has developed a report that projects strategies for dealing with major energy issues. He is expected to develop a full paper, after the questionnaires are returned, that will detail the scope of energy conservation and the poor and an intensive program of what actions and resources can ameliorate the problems around this issue.

He has already developed a resource file of literature and legislation on the subject and is working closely with the Consumer Specialist on increased education in this area. He has compiled a directory of funding sources in the field that delineates types of projects funded from each source, potential funding from each source, and expectations about actual funding.

He has developed some models for possible projects, such as recycling plants, etc. He has met extensively with the Community Services

Administration over their plans for energy conservation programs and has presented his ideas as well.

The Energy Coordinator himself is trying to blend all of these activities into a unified program. One way he is doing this is to advocate for a special committee of the Council Against Poverty, which in its policy making role for CDA, can take an official posture on energy problems as they relate to the poor and thus influence politicians and bureaucrats.

One of the major activities of the Energy Coordinator this past quarter has been to oversee the activities of the Task Force on Mass Urban Transportation which has moved forward quite rapidly in its short existence. The task force has already developed a fact sheet on the problem of mass transportation and the poor and has distributed it to Community Corporations and delegate agencies. The fact sheet describes in detail all the disadvantages of automobile use in the city: pollution, dangers to safety and health and the consequent advantages of mass transportation. It also indicates the ethnic breakdown of ridership as close as possible. We feel that this breakdown will demonstrate that the poor are being victimized as a class by inadequate mass transit.

The task force leadership also addressed this problem in depth at a delegate agency assembly meeting at which speakers were invited who are experts on mass transit and who advocate increased Federal funding. Brochures were distributed on the subject. Area coordinators were selected at the meeting who will disseminate information, organize action groups, set up meetings with local politicians, etc.

Various committees of the task force have been established. They include an Executive Committee, financial, media, and political committees. A policy paper is being drawn up that will describe the functions of these committes (and any others that might be established) as well as the objectives and general principles of the task force. The Media Committee is particularly important in raising the public consciousness on this issue.

A preliminary meeting has been arranged with Mr. William Roman of the MTA to discuss a possible role for the task force in seeking increased Federal funding. This is an important meeting and all task force members are preparing for it with a great deal of energy.

A conference is in the planning stages that will being together experts in the mass transit field. It is projected that this conference will be held at the Statler Hilton Hotel and will include all employees in the Community Action Program (and some board members) as well as individuals from other agencies interested in this problem.

Other priorities of the CDA Energy Unit include defining relationships between this unit and Program Planning as a whole and the Field Divisions, as well as to create a handbook that would describe all activities of the unit.

Further reports will discuss progress on the above specialists' activities and the activities of the Task Force on Mass Urban Transportation.

ANALYSIS OF SAMPLE IN-HOUSE FORMATS

Notes

[1] *Establishing An Energy Policy for New York State - 1975*, p. 11.

[2] Ford Foundation. *Exploring Energy Choices* (Cambridge, Mass.: Ballinger Publishing Co., 1974), pp. 1-8.

[3] Thomas Morehouse, "The 1962 Highway Act: A Study in Artful Interpretation," *Journal of the American Institute of Planners*, 35 (May, 1969), 160-168.

[4] Ford Foundation, pp. 1-8.

[5] Poverty is defined as:

· Families who fall into one of the following categories:
—1 or 2 persons, annual income of $3000 or below;
—3 or 4 persons, annual income of $5000 or below;
—5 or 6 persons, annual income of $7000 or below;
—7 or more persons, annual income of $9000 or below.

I. Highlight Memoranda and Abstracts

The purpose of a highlight memorandum or abstract is to summarize a written or oral presentation. Although abstracts and highlight memoranda both serve the same function, they are organized differently. Highlight memoranda are organized in outline form; abstracts use complete sentences which form conventional paragraphs. The four key concepts in the effective development of both are brevity, inclusiveness, logical sequence and clarity. Agency administrators read a summary (rather than the original document) because their time is limited so a summary is most useful when it is brief, i.e., does not exceed one page. All major points and principal sub-ideas must be included. The sequencing must follow a logical order. The words used must be those which best serve to make each idea clear. Let us examine the abstract and the highlight memorandum of Establishing An Energy Policy for New York State - 1975 in light of the requirements for producing an effective summarization.

Does the summary contain the major points which appear in the policy report? Are all points which do not appear in the policy report omitted?

Establishing An Energy Policy for New York State is a policy report written for the New York State Legislative Commission on Energy Policy. In a summary, the author wants to identify the nature of the problem to be solved, the overall approach (or policy alternative) the report endorses for solving that problem, the particular strategies which the writers of Establishing An Energy Policy see as congruent with implement that alternative, and their policy rationale. All of these elements are important for giving the reader a good idea of what Establishing An Energy Policy is about. The writer of the summary has to identify all the elements. At the same time, the writer cannot get bogged down on details of any one. Thus for example, the highlight memorandum covers the problem and approach in I. "An Energy Policy for New York State." Then "strategies for Energy Use and Development" are covered in part II and "strategies for reorganization of state agencies" are covered in part III. The writer of the memorandum is able to identify all of these elements because no minor points are identified as major points in the memorandum.

The major points identified in the highlight memorandum (i.e., the points labelled with roman numerals) all appear in the abstract as well. Often an abstract identifies a major point by using it as the first sentence in a paragraph and then placing the principal sub-ideas as the remaining sentences in the paragraph. Notice that major idea "III" in the highlight memorandum is "Reorganization of State Agencies." Notice that the first sentence of paragraph three in the abstract is "Some reorganization of state agencies is suggested." The basic idea conveyed is the same. The highlight memorandum omits the qualifying word "some" and the verbal clause "is suggested."

A summary should only contain ideas which appear in the work that is being summarized. The writer of a highlight memorandum or abstract should never add his own ideas. Only identify or describe points which actually appear in the particular document (whether or not you agree with them).

Are principal sub-ideas listed or described in relation to the major points to which they pertain?

Sub-ideas must follow the major ideas to which they pertain. In the highlight memorandum, principal sub-ideas are generally labelled "A", "B", etc. Let us look again at part III in the highlight memorandum. We know that the major idea is "Reorganization of State Agencies" but an administrator who reads the summary might want to know which agencies will be affected and which new ones created. There will be two changes in the structure of agencies. Each separate change is handled as a separate principal subidea. "A" tells the reader that the Atomic and Space Development Authority will be restructured. "B" tells the reader that the Office of Energy Utilization and Conservation will be created.

Let us also look again at paragraph three in the abstract. The reader here too may want to know which agencies are to be restructured. Since the first sentence of the paragraph gives the major idea, the remaining sentences can give the principal sub-ideas. The second sentence deals with the restructuring of the Atomic and Space Development Authority. The third sentence deals with creation of the Office of Energy Utilization and Conservation.

When we read paragraph three in the abstract, we see that there is more information in the paragraph than the highlight memorandum can convey by using roman numerals and capital letters, i.e., by listing major ideas and principal sub-ideas. That is why highlight memoranda often use Arabic numerals (i.e., 1, 2, 3, etc.) to list second-order sub-ideas under principal sub-ideas. An agency administrator might want to know how the Atomic and Space Development Authority will be restructured. Items IIIA1 and IIIA2 tell the administrator that functions will be be expanded to include R&D

in all energy areas and that the name will be changed to the New York State Energy Research and Development Authority. Each of these changes is listed separately; both follow the general announcement of the restructuring of the agency.

Sometimes the writer of a highlight memorandum wants to identify a third-order sub-idea. Let us look at item II "Strategies for Energy Use and Development." Under this major idea, two principal sub-ideas are listed; one deals with the strategy for energy use and the other deals with the strategy for energy development. The strategy for development is indigenous development of non-polluting energy resources. The memorandum tells us two general things about this strategy, the type of sources to be included and the policy rationale. The author lists each of these two general categories as a second-order sub-idea and puts an Arabic number before each. Then under each general idea, the author lists the specific sources or the specific rationales as a third-order sub-idea which is proceeded by a lower-case letter (a,b, c, etc.).For example, we see:

2. Policy Rationale

    a. Independence from outside supplies
    b. Employment opportunities for state's workers.

The important point to remember is that equal ideas must be treated equally. Both "independence from outside supplies" and "employment opportunities..." are separate policy rationales . You could not write

2. Policy Rationale

    a. Independence from outside supplies

3. Employment opportunities for state's workers.

If you list two separate policy rationales, they must be given equal weight and assigned similar ranking (i.e., each proceeded by a capital letter, an Arabic numeral or a lower case letter).

Does the summary follow a logical order? Is the wording such as to make each major idea and sub-idea clear to the reader?

Logical order implies that points are sequenced in a rational and comprehensible manner. If the major idea states "Strategies for Energy Use and Development" then all of the sub-ideas have to deal with such strategies. If a second-order sub-idea reads "Sources include" then the third-order sub-ideas under that heading must be individual sources. The paragraph structure dictates the sequencing of an abstract. Each paragraph should deal with one element of the report. One good way to order a paragraph is to make the first sentence be the sentence that expresses the major idea. Then write one sentence for each principal sub-idea which relates to that major idea. Paragraph three in the abstract gives an example of how this format works.

A summary is only useful if it is clear. Since the highlight memoranda and abstracts are used within the agency, the writer is expected to use precise, professional language. The use of terms such as "policy rationale" "restructuring" "R&D" or "dollar outflow" is therefore appropriate. Abstracts must follow the conventional rules of grammar as well.

II. Position Papers

Does the paper advocate a feasible course of action relevant to a given public policy, plan or practice? Is the position presented clearly and with sufficient relevant descriptive facts pertaining to the public policy, plan or practice and to the course of action recommended by the author?

The position paper contained in this packet advocates increased federal spending for mass, urban transportation. The first paragraph identifies a public policy problem--what is to be done about the energy waste and urban pollution caused by excessive use of the automobile? The paragraph concludes with the following sentence. "The following paper elaborates on the widespread nature of automobile use in America today; the contribution of the federal government to encouraging such use; three problems associated with automobile use and a concomittant rationale for encouraging the development of mass transportation systems; and an overall approach to increasing the federal contribution to their development." This sentence almost serves as an abstract for the paper. It lets the reader know the general drift of what is to follow. It gives the reader a good idea of what is to come.

The rest of the paper does elaborate on these four areas. The author shows how automobile use has increased in the last twenty-five years through use of textual material and through use of two charts. The author discusses the history of the Federal-Aid Highway Act of 1956 and shows how this act contributed to increased use of the automobile. The paper identifies three problems associated with federal support of automobile use--energy waste, pollution and inequity to the poor who are less able to afford automobiles. The author identifies a specific approach relating to federal support of mass urban transportation. The paper does not just say "it would be a good idea to get this money." The author identifies specific sources for funding and specific programs which could be funded. The material on p. 6 of the position paper demonstrates that federal support for mass urban transportation is not only desirable but also feasible in today's political world.

Are the arguments presented in support of a particular position actually relevant to supporting that position?

When you write any type of paper, you must always keep in mind the purpose. It is difficult to stress too often the importance of purpose in relation to what material an effective paper should contain. If you are writing a position paper, you must keep in mind the nature of the position that you advocate. All evidence and argument that you marshall must go to support that position.

The position paper in the packet advocates increased federal spending for mass urban transportation. The argument has three parts: 1) there are urgent problems associated with the widespread use of the automobile in modern America; 2) recent increases in automobile usage are at least partly the result of the federal government's decision to fund the development of roads and highways rather than urban mass transportation systems; and 3) [illegible], the federal government can alleviate some of the problems associated with the increased use of automobiles by increasing its current and future financial support of mass transportation systems.

All of the data, arguments, evidence, assertions made in the paper revolve around these three points. No extraneous data is offerred. There is no discussion of the energy crisis outside the transportation sector, no discussion of the Arab oil embargo, no discussion of automotive styles, pricing, or the relative interest of different makes. Every paragraph, every sentence is related to the point that the author wants to make. In a short paper, it is important to start by identifying the course of action you want to take. Then be certain that all arguments pertain to that course and that all data is relevant to the arguments. For example, if part of the argument is that automobiles consume more energy than trains, it is relevant to say "automobiles ...consume an average of 8,100 Btus per passenger mile; urban mass transportation consumes less than half that amount." But it would not be relevant to go into a discussion relating to the fact that you can take a train if your car stalls.

Does the writer use valid and sufficient data to support assertions, inferences, and conclusions? Are additional sources used to corroborate assertions, inferences and conclusions?

A wide variety of data is used to support assertions, inferences and conclusions in the position paper on urban, mass transportation. Much of this data is statistical as it deals with automobile use, energy consumption and pollution. The energy consumption and pollution patterns of cars and mass transportation systems are compared in "Btus" and "grams per mile" respectively.

Sometimes charts and tables can help bring a point across to the reader. The position paper uses two simple charts. One (Chart I) shows that the automobile is the biggest user of energy on the modern transportation scene. The other shows that there has been an ever-increasing growth of the vehicle-miles passanger cars cover per year.

The paper also relies on historical analysis to bolster the argument that the federal government has aided the growth of automobile use. The paper cites Thomas Morehouse's study of the 1956 highways act which suggests that the act was influential in affecting the nation's transportation patterns.

The paper relies on philosophical as well as historical analysis. Page five discusses automobile use in terms of equity to the poor.

The point is made that poor people own fewer cars than middle and upper income individuals. The poor must often rely on urban transportation The author then suggests that when the federal government decided to subsidize highways rather than mass transportation systems, it did so at the expense of the urban poor. The author then asks how the federal government can "equalize the transportation alternatives offerred to the low-income family?" This leads into an identification of concrete strategies.

The position paper relies on a wide range of data. Evidence is taken from policy documents prepared both by governmental and influential nongovernmental organizations. An article from a scholarly journal (i.e., Journal of the American Institute of Planners) is cited. An eminent scientist is quoted and the results of his ongoing research is described. It is clear that the author has read widely on the topic and is familiar with the literature in the field.

III. Alternatives Papers

Are sufficient major alternatives considered? Does the writer omit all alternatives which are irrelevant to the specified area?

One way of describing an effective alternatives paper is to compare it with an effective position paper. The position paper advocates a particular course of action. Everything in the paper must help make clear why this particular course of action is necessary/just/feasible, etc. An alternatives paper, on the hand, examines a number of alternative courses of action which an agency may pursue; [illegible] for each alternative, the paper identifies functions and benefits, and also dysfunctions and problems relating to feasibility.

The alternatives paper in your packet describes different organizational arrangements for a CDA campaign to secure federal funds for urban, mass transportation systems. On page 2, the paper explicitly states that CDA has limited manpower resources to devote to this project. It is important, therefore to analyze each arrangement both in terms of its ability to contribute to publicizing the need for urban, mass transit systems and its drain on CDA's limited manpower resources.

The alternatives paper performs this analysis for each arrangement. It is shown that a task force would be the most effective vehicle for running this campaign, but, [illegible] development of a task force would place a severe strain on CDA's limited manpower resources. On page 5 (and the following pages), the paper examines the other arrangements. The author makes clear that none of these arrangements make as effective vehicles as development of a task force but that each of these places less of a strain on CDA's limited resources.

Pages 1 and 2 (in the alternatives paper) describe the problems engendered by lack of mass, urban transit systems and the need for increased, federal funding. The rest of the paper identifies alternative arrangements for CDA's campaign to secure such funding. The discussion of each arrangement concentrates on describing the arrangement itself and analyzing its functions and dysfunctions. No other material is included in this part of the paper. There is no false padding.--No discussion of the general energy crisis in our society or the general workload of CDA (except as its affects the manpower shortage). The writer always sticks to the matter at hand.

Is each alternative presented clearly with the factual information necessary to an understanding of it? Are the arguments used to support each alternative or to explain its dysfunctions actually relevant to an analysis of that alternative?

Clarity is essential to any effective presentation. One way to increase clarity is by using titles and headings so that the reader knows what material will be covered in each section. This is done in the alternatives paper. Each alternative is proceeded by a section heading so that the reader is forewarned that a new arrangement will now be covered.

Another way to increase clarity of presentation is to follow the same format in analyzing each alternative. This is also done in the paper. Each organizational arrangement is first described. Then an analysis is made of its functions and dysfunctions in terms of effectiveness and feasibility.

The paper concentrates on what each arrangement can accomplish and what its costs are in use of scarce manpower resources. Since these are the two important areas under consideration, no other areas are considered. How do writers make certain that they cover all essential points (i.e., description of alternative, functions, dysfunctions) without adding extraneous material? One way is to outline the paper before beginning to write. You have already developed the ability to produce highlight memoranda. Such a memorandum can be written for an alternatives paper. Each alternative can be listed as a separate major idea. The description of the alternative, and the analysis of its functions and dysfunctions can be listed as principal sub-ideas. While writing the actual paper, you can use the memorandum as a guide to which points must be included and the place where each should be developed.

Does the writer use valid and sufficient data to support assertions, inferences, and conclusions? Does the writer cite additional sources to corroborate assertions, inferences and conclusions?

A written presentation must always contain valid and sufficient evidence to support assertions, inferences and conclusions. The type of evidence, however, varies on the purpose of the paper and the particular area that the author is exploring. The position paper in your packet relied on a greater variety of outside sources than the alternatives paper because it was important to the author to show that cars caused energy waste and urban pollution; in order to do that, the writer needed statistical data (sometimes arranged in chart form) and testimony of scientists in the field.

In the alternatives paper, the writer is principally concerned with analyzing different organizational arrangements for a proposed CDA campaign. Therefore, there is no need for the same extensive reliance on statistical data or ongoing scientific research. The writer has to analyze the affect of each arrangements on the agency's goals and on its strained, available resources. In the opening pages of the alternatives paper, the author does use statistical evidence in the brief discussion of the automobile's contribution to energy waste; statistical evidence is not important in the rest of the paper.

The alternatives papdr does not rely on outside sources as much as the position paper. This is partly because the bulk of the paper discusses internal agency arrangements. However, in the opening page of the paper, the Ford Foundation's important energy report is cited. Later reference is made to President Ford's 1975 energy proposals.

IV. Progress Reports

Does the paper identify the purpose of the activity?

A progress report gives an accurate, descriptive account of an ongoing public agency activity. We know that we cannot analyze the effectiveness of a written paper unless we know the purpose for which the paper was written. In the same way, we cannot analyze the effectiveness of an agency's work unless we know what is the purpose for a particular activity.

The progress report in your packet details the activities of CDA's Energy Unit. On the first page, the author states the purpose of the unit, i.e., "to increase the energy conservation and consumption options available to the poor." Since there are many ways by which these options might be increased, the paper next specifies that the unit's objectives are to educate the poor concerning energy conservation and the economic benefits this can net them; to increase the installation of a particularly effective type of insulation in homes in poor neighborhoods; and to seek funding for additional projects in this policy area. We can only evaluate the activities of the Energy Unit in terms of how well they contribute to fulfilling the purpose of the unit.

Does the paper identify the components of the activity in sufficient detail? Does the paper identify any problems related to these components? Proposed solutions to these problems?

The report examines the responsibilities of each specialist's sub-unit. Responsibilities are described in some detail. For example, the Consumer Specialist developed a profile of energy use by poor people. The report identifies how the profile was developed; the general findings of the report; and who received copies of the profile. (See page two of the progress report.)

Sometimes agencies are not able to meet their objectives. The Weatherization Specialist works to increase the installation of effective insulation systems in houses in poor neighborhoods. However, page four and five of the Progress Report make clear that with the limited funding available to the unit, the weatherization program has not been able to put sufficient manpower or materials into its efforts. The progress report identifies this problem and then describes the proposed solution of the Weatherization Specialist. The sub-unit is now seeking additional funding from outside foundations.

A progress report should give enough detail so that a reader has a clear idea of the agency's work in the given area. The report should identify accomplishments (such as development of the profile on energy use), problems (such as lack of sufficient funding to pursue an adequate weatherization campaign) and proposed solutions to any problems which appear.

Are components of the activity, problems and proposed solutions described in logical order? Is the paper clear and concise?

The progress report in your packet begins by identifying the purpose of the unit. This is an effective start because the reader can only evaluate the unit's accomplishments in terms of its stated purpose. The report's first page identifies three specialized areas which form the unit's three sub-units. A logical way to order the rest of the paper is to describe the work of each specialized area in turn. The paper describes the accomplishments of the Consumer Specialist on pages two and three. The bottom of page three begins the description of the Weatherization activities which ends on the top of page five. Pages five and six describe the accomplishments of the New Projects Specialist. The remainder of the paper discusses the efforts of the

Energy Coordinator to blend all of these activities into a unified program and the activities of a special Task Force on Mass Urban Transportation that has been set up by the Energy Unit.

Keeping an account of each specialized area separate helps to clarify the narrative for the reader. If you have an interest in only one of the Energy Unit's projects, you can read the particular page that covers this activity. A logical order is a prerequisite to clarity. Here again the ability to develop a highlight memorandum can be important. If the writer develops a highlight memorandum before actually writing the paper, he can check the order of the major points and sub-ideas and check whether it is logical and clear.

Expanded Reading List

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6. Human Resources Administration, Directory of Needs: Selected Socioeconomic Characteristics of Youth in New York City by Borough and Health Area, HRA, Washington, D.C., April, 1969.

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9. Peterson, Jacquelyn. Center Report, Children and Parents Center of Queens College, New York, July, 1966.

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12. Sviridoff, Mitchell, Administrator. Human Resources Administration, Remarks at the Social Work Recruiting Center, New York, N.Y., January 16, 1967.

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14. Tickton, Sidney G. The Year-Round Campus Catches on, The Fund for the Advancement of Education, New York, January, 1963

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17. Youth in Action Staff Newsletter, Youth in Action of Bedford-Stuyvesant, Brooklyn, Vol. 1, No. 7, Dec. 31, 1965.

Capacities for a Theory/Practice Curriculum Model

1. Is sensitive to his/her own values and to those of others; and to how these values relate to their actions and views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service, as well as a range of behavior which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency responsibilities and actions are incongruous or consistent with these criteria.

4. Organizes and completes work assigments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

7. Is aware of the short- and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsiblities and engages in an on-going critique of one's own products and performance.

9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilties influence what constitutes an appropriate response to a problem issue or situation. *

* Capacity 9 was developed in June, 1977.

** See following page for Revised Draft System of Capacities for complete description.

Revised Capacities System for the Theory/Practice Curriculum Model

1. Can articulate and is aware of own values and those of others and to how these values relate to one's own and others' views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defined judgments on whether one's agency resonsibilities and actions are incongruous or consistent with these criteria.

*3a. Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

**5a. Is able to express simple and only moderately complex ideas, practices situations, conclusions, etc. using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

**5b. Recognizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

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* Drafted after 1977-1978 pilotings. The original Capacity 3 relates to student development of a sense of purpose involving a system of ethics and goals grounded in democratic theory. The newer capacity, 3a, relates to student development of a more generalized sense of purpose and the importance of "purpose" or goals to all phases of public agency management.

** Drafted after 1977-1978 pilotings. Although Capacities 5a and 5b may be viewed as implicit in Capacity 5 itself (as well as several other Capacities), it is, nonetheless, essential to explicitly recognize the importance of being able to write grammatical, professional prose and recognize nuances of professional language. If these Capacities are not made explicit, it is possible that their development will be taken for granted.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an ongoing critique of one's own products and performance.

*9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem issue or situation.

* Drafted in June 1977.

TPU (f) continued

Capacity	Syllabus Objective and TPU/Component	Comment
#6-theory and its relation to informed practice	Objective F/TPU (f), components 1 - 5	The intent of proponents of Freedom of Information and "sunshine" laws is examined and contrasted with problems which can emerge during the implementation of these statutes.
#7-implications of actions	Objective F/TPU (f), components 3 - 5	Implications of implementation of Freedom of Information and "sunshine" acts are discussed, particularly in relation to an agency's ability to carry out its legislatively-mandated activities and maximize program goals.

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU (d)	
#2-value of flexibility... need for closure	Objective D/TPU (d), component 2	As an in-semester exercise, students write an alternatives paper on a public policy-related issue. Students must show analytic flexibility if they are to examine each option in terms both of advantages and disadvantages. It is sometimes difficult for a student to examine disadvantages of an option they have just finished praising.
#3a-recognizes and pursues purpose	Objective D/TPU (d), components 1 and 2	Students develop an awareness that writing effective presentations (e.g., memos, papers) is based on a congruency between the purpose of a given presentation and the style and content that the author uses.
#4-organizes work	Objective D/TPU (d), component 2	Early drafts of the alternatives paper are critiqued in class and revised.
#5-analyzes and presents ideas with clarity	Objective D/TPU (d), component 2	At least four options must be analyzed in terms of functions and dysfunctions when students develop an alternatives paper on a policy-related issue.
#5a-expresses ideas in professional language	Objective D/TPU (d), components 1 and 2	A highlight memo must be succinct and clear. Students practice developing memoranda which use language in a professionally-acceptable, lucid way.
#5b-recognizes nuances of language	Objective D/TPU (d), components 1 and 2	Students read sample highlight memoranda and alternatives papers on public policy related matters in order to see how the writers used language so as to present ideas with maximum clarity.
#7-implications of actions	Objective D/TPU (d), component 2	In developing alternative papers, students analyze the implications of each option.
	TPU (e)	
#5b-recognizes nuances of language	Objective E/TPU (e), components 1 and 2	In both the pre/post test and in-semester quizzes, students must identify the best label for various boxes in a public agency flowchart. Since all choices are quite plausible, attention must be paid to nuances of language.
	TPU (f)	
#5b-recognizes nuances of language	Objective F/TPU (f), components 1 - 5	In studying about Freedom of Information and "sunshine" statutes, students develop an awareness of how small nuances of language can engender important implementation consequences. It is, for example, very important that New York State's "sunshine" law opens "formal" meetings and not simply "meetings," to the public.

CBA/Capacity Grid

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU (a)	
#5b-recognizes nuances of language	Objective a/TPU (a), components 1 - 3	Both the pre/post test and in-semester quiz probe the ability to understand nuances of language relating to communication (e.g., the difference between insufficient communication and deliberate restriction on communication).
	TPU (b)	
#1-values	Objective B/TPU (b), components 1 and 2	Students learn to distinguish value statements from statements of fact in printed material.
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Entire unit develops ability to distinguish **various** types of statements found in public agency documents: What is a hypothesis? What are supporting arguments or supporting evidence? When is supporting evidence valid? Etc., etc.
7-implications of actions	Objective B/TPU (b), component 2	Students analyze public policy documents in terms of relating a given policy alternative to its probable consequences.
	TPU (c)	
#1-values	Objective C/TPU (c), components 1 and 2	On the pre/post, students listen to a speech on a public policy issue and then answers questions as to whether parts of the speech were appropriate for the given audience's values.
#3a-recognizes and pursues purpose	Objective C/TPU (c), components 1 and 2	Students analyze speeches on public issues in terms of their purpose; discussion stresses that the effective style and content varies according to the speaker's purpose.
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Language used by various public speakers (e.g., Martin Luther King, Major Owens, etc.) is analyzed.
#9-roles...their relation to appropriate responses	Objective C/TPU (c), components 1 and 2	In developing speeches to present in class, students may select any public agency role; they then tailor their speech's content and style so that it is congruent with the role they have chosen to assume.

The CBA/Capacity Grid

The following chart delineates which of the Capacities are developed in the theory/practice units (TPUs) of this CBA. In overall organization, the chart is arranged by TPU. For each TPU, the chart contains three (3) columns. The first column labelled "Capacity" identifies the number of each Capacity developed in the TPU and briefly describes the Capacity. (For a full description of each Capacity see "Revised Capacities System for the Theory/Practice Curriculum Model.")

The second column identified the Medgar Evers College piloting syllabus objective that corresponds to the TPU and the particular components in which a Capacity is developed. (For a full description of the objectives. see the Fall, 1978 Medgar Evers College piloting syllabus. For a description of each TPU's components, see the list of TPUs and their components.)

The third columngives at least one example of how a given Capacity is actually developed in the TPU. Examples may relate to teaching strategies, resources or assessments.

CPA 4 - Public Personnel Administration

TPU's and Components

The TPU's represent broad statements of objectives. The components, subsumed under each TPU, represent behavioral or performance objectives which are assessable.

The objectives in the syllabus correspond to the TPU's. The components are not included as such in the syllabus, but they are reflected in the topical outline.

TPU d: Ability to analyze and define agency personnel issues and practices in terms of the ethical and philosophical dimensions of the mission of the agency and its mandated activities, as well as roles and tasks to be performed.

Component - 1. To be able to analyze and define agency personnel systems in terms of the ethical and philosophical dimensions of the mission of the agency and its mandated activities, as well as roles and tasks to be performed.

Component - 2. To be able to analyze and define job responsibilities in terms of the ethical and philosophical dimensions of the mission of the agency and its mandated activities, as well as roles and tasks to be performed.

Component - 3. To be able to appraise applicant's and employee's strengths and capacities to perform their jobs and to work for the broader purpose of the agencies in terms of the ethical and philosophical dimensions of the mission of the agency and its mandated activities, as well as roles and tasks to be performed.

TPU e: Ability to comprehend, analyze and constructively evaluate public policies and public agency practices designed to achieve short and long term public service and agency goals.

Component - 1. To be able to comprehend, analyze and constructively evaluate the Intergovernmental Personnel Act.

Component - 2. To be able to comprehend, analyze and constructively evaluate the various civil service acts and the civil service philosophy.

Component - 3. To be able to comprehend, analyze and constructively evaluate recent New York City reforms including proposals of the Lindsay administration.

Component - 4. To be able to comprehend, evaluate and analyze various career development plans.

Component 5. To be able to comprehend, analyze and constructively evaluate EEOC.

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TPU's and Components

Competence-based Area 4

Analyzing and Contributing to Personnel Relationships, Systems and Practices

TPU a: Ability to identify the structure and functions and policy foundations of the central (i.e., city, state, or federal) personnel system which shapes the public administrator's personnel responsibilities and authority.

Component - 1. To be able to recognize the structure and functions of typical models of city, state and federal systems.

Component - 2. To be able to understand how the various models affect the responsibilities and authority of the top administrators of agencies within each jurisdiction.

Component - 3. To be able to understand the policy foundations of each model and how these affect the way in which the personnel functions are carried out within agencies in that jurisdiction.

TPU b: Ability to comprehend, analyze and contribute to the development of the organization of an intra-agency personnel system.

Component - 1. To be able to recognize the structure and functions of typical models of agency personnel offices found in various jurisdictions.

Component - 2. To be able to understand the policy implications of each model and how these affect the way in which personnel functions are carried out within the agency.

Component - 3. To be able to understand how various personnel activities such as selection, classification, training, and performance evaluation directly affect, are related to, and contribute to an agency's line management.

TPU c: Ability to comprehend the use of various approaches to leadership, supervision MBO and other management practices which contribute to effective public personnel management.

Component - 1. To be able to understand the theory and practice of MBO; its relation to personnel practice.

Component - 2. To be able to understand major theories and relevant practices of leadership and supervision.

Component - 3. To be able to understand the theories and relevant practices of participatory structures (e.g., ad hoc structures, etc.). *

* Optional; not included - Medgar Evers, Spring '78

Medgars Evers College of
The City University of New York

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P.A. 105
Fall '78

Public Administration 105 - Public Personnel Administration

3 credits
3 hours

Syllabus

1. Course Description

Governmental personnel policies and practices, with their roots in the merit system, are explored. Methods for the effective assignment and use of employees, and the fostering of career opportunities are taught through: position classification; recruitment; testing; training; promotion; salary and wage administration; grievance procedures; and morale-building incentives.

Co-requisite: Eng. 100

2. Course Objectives

Unit A - To develop the ability to grasp important functions and concepts in American Civil Service and public personnel administration and to identify the structure and functions and policy foundations of the central (e.g., federal) personnel system which shapes the public administrator's personnel responsibilities and authority.

Unit B - To develop the ability to comprehend and analyze models of an intra-agency personnel system and their implications.

Unit C - The ability to comprehend the use of various approaches to leadership, supervision, MBO and other management practices which contribute to effective public personnel management.

Unit D - To develop the ability to analyze and augment job responsibilties and qualifications in relation to the ethical and philosophical dimensions of public agency mission and goals.

3. Methodology

Class discussion and lecture methods will be used along with student's reading of important works in the public personnel administration literature and actual agency guidelines, directives, policies, reports, manuals etc. related to the personnel function.

4. Topical Outline

A. Fundamental concepts of American Civil Service and public personnel administration.

   1. The evolution of American Civil Service concepts.

   2. Basic concepts in public personnel administration.

   3. Models of structure and functions of central personnel systems; the Federal Civil Service Commission. The implications of each model for effective line management.

B. The organization of an Intra-Agency Personnel System.

   1. Structure and function of typical intra-agency models

   2. The policy implications of each model and the effect this has on performance of the personnel function

C. Public Agency Management Practices Affecting Public Personnel Administration.

   1. The theory and practice of MBO; its relation to personnel practices.

   2. The theory and practice of leadership and supervision.

D. Agency personnel responsibilities and qualifications in relation to ethical and philosophical dimensions of agency mission and/or program goals.

   1. Format and scope of selected civil service job descriptions and qualifications

   2. The implications of ethical and philosophical dimensions of agency mission and/or program goals.

   3. Development of augmented descriptions of agency personnel responsibilities and qualifications to reflect ethical and philosophical considerations related to agency mission and/or program goals.

5. Required Readings

Students must purchase:

1. Robert T. Golembiewski and Michael Cohen, People in Public Service, F. E. Peacock, Illinois, 1976, 2nd edition.
2. Frederick Mosher, Democracy and the Public Service, Oxford University Press, New York, 1968.

All other required readings will be distributed by the instructor.

Unit (a)

1. Golembiewski & Cohen, People in the Public Service, F. E. Peacock, Illinois, 1976, 2nd edition, pp. 160-170, 537-542.
2. Overview of Federal Civil Service System. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 3 pages).
3. Central Personnel Systems: Organization charts and descriptive material depicting central personnel system models. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 11 pages).
4. Glossary items numbered 3, 8, 15, 17, 18, 19, 26. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 6 pages).
5. "Federal Personnel Management Project", Option Paper #6, U.S. Government Printing Office, 1977, pp. 56-59, 61.
6. "Study Finds Merit System of U.S. 'Is Not Working'", N.Y. Times, October 7, 1977.
7. Mosher, Frederick. Democracy and the Public Service, Oxford University Press, New York, 1968. Chapter 3, (pp. 53-top of 81).
8. * Beaumont, Enid. "A Pivotal Point for the Merit Concept," Public Administration Review, Vol. 34, No. 5, Sept./Oct. 1974, pp. 426-430.
9. "Carter Acts To End Civil Service Panel", Martin Tolchin. New York Times, January 4, 1978

Unit (b)

1. Golembiewski & Cohen, People in the Public Service, F. E. Peacock, Illinois, 1976, 2nd edition, pp. 292-301, 515-529.
2. Intra-Agency Personnel Systems: Organization charts and descriptive material for each intra-agency model. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 8 pages).
3. Glossary items numbered 11, 12, 13, 16, 22, 27, 29. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 6 pages).

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* At the discretion of instructor

Required Readings cont'd.

Unit (c)

1. S. Rosenberg. "MBO Comes to New York City Government," Personnel Digest, Vol. 1 (March/April, 1976), pp. 2-5.

2. Drucker, Peter. "What Results Should You Expect? A User's Guide to MBO," Public Administration Review, (Jan./Feb., 1976), pp. 12-19.

3. Descriptive material on MBO; Sample Manager Performance Agreements and Performance Reports, N.Y.C. Fire Department, 1976. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977 (offset 12 pages).

4. George Strauss and Leonard Sayles, Personnel: The Human Problems of Management, Prentice-Hall Inc., Englewood Cliffs, N.J., 1972, pp. 118-136, 167-174.

5. "New York Slimming Work Force with New Plan of 'Broad-Banding,' " Lee Dembart. New York Times, August 15, 1977.

6. Glossary items numbered 1, 2, 5, 9, 10, 20, 21, 24, 25. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 6 pages).

* 7. Mosher, Frederick. Democracy and the Public Service, Oxford University Press, New York, 1968. Chapter 6.

* 8. "Analysis of Changes In New York City's Personnel System Resulting From Charter Revision"; "Case Study: How The Personnel Function Supports The Attainment of Agency Goals In New York City's Fire Department*"; "Supplement to Case Study: ..."; and attachments, "The Development of a Task Oriented Approach to Performance Evaluation in the City of New York"; Broadbanding and Consolidation"; "New York City Charter, Chapter 35, Department of Personnel, Appendix I "; "Personnel Policy and Procedure No. 511-78". Theory/Practice Curriculum Project, Brooklyn, N.Y., 1978, offset 186 pages.

9. Edited remarks of Elsa Porter (MPA '71) from her keynote speech at the Conference on Women in Public Service, Dec. 3, 1977. JFK School of Government Bulletin, Harvard University, Spring, 1978.

10. "States Implement Personnel Reform", Richard Hickman. Public Administration Times, February 1, 1978.

Unit (d)

1. Golembiewski & Cohen, People in the Public Service, F. E. Peacock, Illinois, 1976, 2nd edition, pp. 170-179.

2. F. Wales & C. Isales, "The Community Education Division", Community Development Bulletin, June, 1964. Part I.

3. The Community Education Division: An analysis of the experience of a Puerto Rican Community development organization. Theory/Practice Curriculum Project, Brooklyn, New York, 1977 (offset 5 pages).

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* At discretion of instructor.

Syllabus (cont'd.)
TPU (d)-Required Reading cont'd.

4. Mission of The Community Action Agency and Job Descriptions for Employees. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 17 pages).

5. Babbidge Report. Federal Education Agency For The Future, U.S. Office of Education, Committee on Mission & Organization, U.S. Government Printing Office, 1961, p. 1-7, 39-40, Appendix B. (p. 41-43).

6. Supplementary Readings

Two supplementary texts:

1. O. Glenn Stahl, Public Personnel Administration (New York: Harper & Row, 1962).
2. John W. Macy Jr. Public Service (New York: Harper & Row, 1971).
3. Kranz, Harry. "Are Merit and Equity Compatible?," Public Administration Review, Vol. 34, No. 5, Sept./Oct., 1974, pp. 434-440.

7. Assessment

Students will be assessed in the following way:

30% of grade is based on the Final Exam*
20% of grade - quiz on unit (a)
15% of grade - quiz on unit (b)
20% of grade - quiz on unit (c)
15% of grade - written exercise and/or quiz on unit (d)

*In addition, credit will also be given in the final grade for the degree of growth and progress during the semester (1 point added for each 10 points of growth, based upon pre/posttest scores) and from 1 to 4 points may be added for exceptional class participation, at the discretion of the instructor.

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CBA 4

TPUs and Components

Competence-based Area 4

Analyzing and Contributing to Personnel Relationships, Systems and Practices

TPU (a) Ability to grasp the important functions and concepts in American Civil Service and public personnel administration and to identify the structure, functions and policy foundations of the central (e.g., federal) personnel system which shapes the public administrator's personnel responsiblities and authority.

Component 1: To be able to recognize the evolution of American Civil Service concepts and basic concepts in public personnel administration.

Component 2: To be able to identify various structural and functional models of central personnel systems (e.g., the Federal Civil Service Commission) and to recognize the implications of various models and their policy foundations for effective line management.

TPU (b) Ability to comprehend various structural and functional models of an intra-agency personnel system and the policy implications of each model.

Component 1: To be able to identify the structure and function of typical intra-agency personnel system models.

Component 2: To be able to understand the policy implications of each model in relation to being able to identify the effect each model has on performance of the personnel function and probable consequences use of each model has for effective line management.

TPU (c) Ability to comprehend various public agency management practices affecting public personnel administration.

Component 1: To be able to identify concepts and patterns associated with the theory and practice of MBO and their relationship to personnel practices.

Component 2: To be able to recognize major theories and related practices of leadership and supervision.

TPU (d) Ability to analyze agency personnel responsibilities and job qualifications in relation to the ethical and philosophical dimensions of a public agency's mission and/or program goals.

Component 1: To be able to analyze the format and scope of selected civil service job descriptions and related qualifications in relation to their implication for the ethical and philosophical dimensions of a public agency's mission and/or program goals.

Component 2: To be able to develop an augmented civil service job description (including job responsibilities and qualifications) that reflects ethical and philosophical considerations related to the public agency's mission and/or program goals.

The Assessment Method & Criteria Section relates to the Pre/Post Examination and should be viewed in conjunction with each unit of the Pre/Post.

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CBA 4

TPU (a), Components 1 and 2

Assessment Methods and Criteria

Methods: Multiple choice; matching

Criteria: a. Questions deal with concepts and patterns associated with the merit system and modern American public personnel administration. A series of questions ask students to match each of Mosher's five key stages in the evolution of the American Civil Service (e.g., government by gentlemen, government by the common man, government by the good, etc.) with an appropriate concept, practice or legacy which is associated with that particular stage. A list of major central personnel models is presented. Students are expected to associate each model with advantages and disadvantages related to their structural, functional and policy foundation engendered implications for effective line mangement.

b. 1. Can the students identify concepts and patterns associated with the merit system, modern public personnel administration and the evolution of the American Civil Service?

2. Can the student match key stages in the evolution of the American Civil Service with appropriate concepts, practices and legacies?

3. Can the student match major central personnel models with advantages and disadvantages that are related to their implications for effective line management and effective personnel administration in a public jurisdiction?

4. Can the student apply generic concepts to a particular case?

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TPU (b), components 1 and 2

Assessment Methods and Criteria

Method: Matching

Criteria: a. Students will be expected to associate advantages and disadvantages with each of the intra-agency models. They will be presented with lists of models and advantages and disadvantages. They will place the name of the appropriate model next to each advantage and disadvantage.

b. 1. Can the student recognize the major intra-agency personnel models?

2. Can the student identify the administrative implications of each?

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CBA 4

TPU (c),components 1 and 2

Assessment Methods and Criteria

Method: Multiple Choice

Criteria: a. Students are given questions dealing with concepts relating to, and theory and practice associated with, public agency MBO. Students will be given 1-3 case studies involving interactions between supervisors and subordinates. Students will be expected to answer questions relating supervision theory to an understanding of the interactions and to answer questions on how the supervisor could have handled the situation more effectively.

b. 1. Can the student recognize concepts relating to the theory and practice of public agency MBO?

2. Can the student recognize principles of good supervision and effective leadership in response to a particular situation?

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CBA 4

TPU (d), components 1 and 2

Assessment Methods and Criteria

Method: Completion of job description

Criteria a. Students will read a statement which includes information on an agency's mission, a job title, a summary of mandated job responsibilities and tasks associated with the job title, and a list of qualification requirements which candidates must possess.

Students will be expected to add additional job responsibilities that relate directly to ethical and philosophical dimensions of the work of the unit, agency's mission, and additional qualification requirements that are relevant to appraising the candidate's ability to handle these responsibilities.

b. 1. Can the student develop job responsibilities for public agency personnel that reflect an understanding of the ethical and philosophical dimensions of an agency's mission and/or goals?

2. Can the student develop job qualifications for public agency personnel that reflect an understanding of the ethical and philosophical dimensions of an agency's mission and/or goals?

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 4-Unit (a)
Component 1

____Fall, 19____ Pre-test______ Post-test______.

____Spring, 19___

____Summer Term, 19___

Instructions

For questions 1-4, select the letter below which best completes the idea.

1. The Merit System is designed to provide:

   a) equal opportunity for all interested citizens to be considered for Civil Service jobs on the basis of their qualifications and suitability for the work to be done, without discrimination as to race, creed, color, etc.
   b) the best qualified available personnel for government service
   c) continuity of service through periodic changes in political administration
   d) a) & b) above
   e) all of the above

2. Much of the actual work of announcing examinations, rating candidates, and maintaining lists of eligibles for Federal agencies is done by boards of examiners in the agency itself, made up of agency personnel. The work done directly by U.S. Civil Service Commission personnel includes:

   a) training board members
   b) directing and supervising the operations of the boards
   c) inspecting the work of the boards to make sure that they adhere to Commission/standards
   d) a) & c) above
   e) all of the above

3. Career or career-conditional employees in Federal agencies may be moved to other positions at the same or higher grades in their own (or different) agencies without competing again with persons who are outside of the Federal service. The U.S. Civil Service Commission conducts certain operations to ensure that this is done properly. These operations include:

   a) prescribing standards which agencies must use, to ensure that the candidate is qualified to do the new job
   b) specifying the experience, training and other qualifications which persons must have to qualify for the new job
   c) granting authority to agencies to determine whether individual employees meet the required standards
   d) a) & c) above
   e) all of the above

4. Public personnel administration can be defined as the management of human resources in government organizations in order to attain the goals of these organizations in an effective fashion. This usually involves:

   a) recruitment and selection
   b) training and development
   c) classification and compensation
   d) a) & c) above
   e) all of the above

Instructions

Select the term below which is most closely identified with each of the following descriptions.

5. The series of steps taken designed to facilitate comparative ranking and selection in the public service environment:

   a) job analysis
   b) non-competitive examination
   c) examination
   d) analysis classification
   e) all of the above

6. The practice of filling public jobs on the basis of political party loyalty or association.

   a) unassembled examination
   b) patronage
   c) lobbying
   d) placement
   e) none of the above

7. One or more tests open to anyone who can meet the minimum qualification requirements (typically for entry-level jobs in public agencies, but sometimes for higher level jobs as well), on the basis of which people are ranked against each other.

   a) open competitive examination
   b) non-competitive examination
   c) Merit System
   d) performance evaluation
   e) none of the above

Instructions

A well-known authority on American public service has identified five key stages in the evolution of American Civil Service concepts. These stages are identified below as the basis for your answers to questions 8-12. For each question, select the concept, practice, or legacy which it is most appropriate to identify with each.

8. "Government by Gentlemen": 1789-1829

   a) pluralism in public administration reflecting that which is outside of government.
   b) the standard of "fitness of character," in terms of family background, educational attainment, and high-ranking occupational experience
   c) equal opportunity for public service, subject to party loyalty
   d) an "open" service, with entry possible at all levels
   e) none of the above

9. "Government by the Common Man": 1829-1883

   a) high moral standards of public office
   b) emergence of an new class of public servants, the "in-and-outers," who are policy-oriented but non-political
   c) the Spoils System; appointments as a reward for party service
   d) efficiency as a second moral imperative
   e) none of the above

10. "Government by the Good": 1883-1906

   a) representative bureaucracy
   b) a science of work and of management (including personnel management)
   c) rotation in office of public executives following party change
   d) political neutrality of the civil service, and with it the separation of policy and politics from administration
   e) none of the above

11. "Government by the Efficient": 1906-1937

   a) the legal profession as the source of most executive appointments
   b) Position classification and the accompanying concept of rank and pay in the job rather than the person
   c) The Merit System linked primarily with competitive examinations
   d) The sharp decline of public office and public service in popular and self-esteem
   e) none of the above

12. "Government by Administrators": 1937-1955

   a) restatement of the dichotomy between policy-politics and administration, followed by a series of challenges to it
   b) the doctrine of simplicity of governmental work
   c) the sharp decline of public office and public service in popular and self-esteem
   d) the Civil Service Commission to govern administration of the Service--a collegial, semi-independent, non-political, non-technical body
   e) none of the above

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 4-Unit (b) Components 1 and 2

_____Fall, 19__

Pre-test______ Post-test_____

_____Spring, 19__

_____Summer Term, 19__

Instructions

Listed below are 4 models of intra-agency personnel systems. Each of the questions numbered 21-30 reflects one of the four models listed below. Match the central personnel systems with the advantages or disadvantages associated with it. Fill in the correct letter on the answer sheet.

Models

(a) centralized specialists
(b) centralized generalists
(c) decentralized generalists
(d) integrated specialist-generalists

Advantages and Disadvantages

21. When a line manager wants information on job classifications, she knows just where to go for it. All of the agency's expertise is in one section of one office.

22. The manager of the Traffic Bureau said, "I've got a complex problem and nobody wants to tackle the whole thing. We're having trouble keeping meter maids but I have to talk to one person in the personnel office about selecting personnel and another about paying them."

23. When Mr. Abcorn wanted to discuss a complicated job classification problem, he insisted on talking to the agency's Personnel officer who had been a specialist in classification at another agency for several years. He felt that the other staff in his agency's personnel office had not had enough experience with job classification problems, and they worked in so many other areas of personnel, they didn't develop the kind of expertise he was looking for.

24. Both the line manager and the agency head smiled when they met by the elevator. The line manager was glad that he had a personnel representative who was responsive to his needs. The agency head was satisfied that he had available the expertise necessary to ensure a review of overall personnel policies.

25. The mayor had counted on the commissioner to institute new promotion policies in the agency even though career bureaucrats favored the status quo. The commissioner compleained that he could not change policy if the personnel officers were going to be loyal to the line managers.

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 4-Unit (a)
Component (2)

_____Fall, 19____

Pre-test_______ Post-test______

_____Spring, 19___

_____Summer Term, 19____

Instructions

Listed below are 4 models of central personnel systems. Each of the questions numbered 13-20 reflects one of the four models listed below. Fill in the letter corresponding to the correct model on the answer sheet.

Models

(a) Independent Commission
(b) Commission-Executive
(c) Personnel Executive with a Separate Independent Commission
(d) Personnel Executive with an Advisory Board

Advantages & Disadvantages

13. For several years the Mayor has been calling for changes in personnel classification and selection procedures in the city's line agencies, but this has not occurred. He finds it very difficult to pinpoint accountability for the lack of action.

14. The National Civil Service League supports this system because they argue that no personnel director wants bad publicity.

15. Every time her colleague Robert Jackson spoke about the need for immediate implementation of new examination policies, Glenda Pickett thought about the day-to day changes in agency routine this would entail. Mr. Jackson and she were both equally responsible for agency policy but she had sole responsibility for the administrative direction of all the work.

16. The Personnel Department bureau chiefs felt that only the chairman was responsive to their needs because only he had a knowledge of the day-to-day operations in the agency. The other two policy-makers were remote from agency operations,

17 The major knows that she can hold the director of the personnel department accountable for the executive direction of the agency. subject only to the commission's appellate review.

18. The New York City Personnel Department has recently adopted this model in order to emphasize the executive character of the personnel function.

19. The central Federal Personnel system conforms to this model which has features for providing executive accountability and protecting the merit system.

20. This model works best if you consider that the chief function of a central personnel system is to act as guardian of the merit system.

26. Generally Bill Crawford handles personnel matters for the Reclamation Bureau, but when he has a particularly difficult problem in employee relations he can call his agency colleague, Gwen Seeger, who really knows that area.

27. The head of the Engineering Department said "No matter what my problem is, I can make one phone call upstairs and get all the Personnel help I need."

28. The agency head felt that the personnel staff did not represent his views. He said to his wife "Nobody is loyal to me. All the personnel people are loyal to the line managers."

29. An independent consultant has recommended rotations in assignments so that Personnel staff members do not develop narrow outlooks.

30. The personnel representative is not certain who her "boss" is. Should her first loyalty be to the needs of the line manager or to the instructions coming from the office of Personnel?

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Theory/Practice Curriculum in Public Administration

______________________ Student's Name (Last, First)	Testing Instrument	CBA 4-Unit (b) Components 1 and 2
_____Fall, 19__	Pre-test______	Post-test_____

_____Spring, 19__

_____Summer Term, 19__

Instructions

Listed below are 4 models of intra-agency personnel systems. Each of the questions numbered 21-30 reflects one of the four models listed below. Match the central personnel systems with the advantages or disadvantages associated with it. Fill in the correct letter on the answer sheet.

Models

(a)	centralized specialists
(b)	centralized generalists
(c)	decentralized generalists
(d)	integrated specialist-generalists

Advantages and Disadvantages

21. When a line manager wants information on job classifications, she knows just where to go for it. All of the agency's expertise is in one section of one office.

22. The manager of the Traffic Bureau said, "I've got a complex problem and nobody wants to tackle the whole thing. We're having trouble keeping meter maids but I have to talk to one person in the personnel office about selecting personnel and another about paying them."

23. When Mr. Abcorn wanted to discuss a complicated job classification problem, he insisted on talking to the agency's Personnel officer who had been a specialist in classification at another agency for several years. He felt that the other staff in his agency's personnel office had not had enough experience with job classification problems, and they worked in so many other areas of personnel, they didn't develop the kind of expertise he was looking for.

24. Both the line manager and the agency head smiled when they met by the elevator. The line manager was glad that he had a personnel representative who was responsive to his needs. The agency head was satisfied that he had available the expertise necessary to ensure a review of overall personnel policies.

25. The mayor had counted on the commissioner to institute new promotion policies in the agency even though career bureaucrats favored the status quo. The commissioner compleained that he could not change policy if the personnel officers were going to be loyal to the line managers.

Question 33 (cont'd.)

c) reduction of the number of vertical levels in an occupational series
d) a) and b) above
e) all of the above

34. Defining government agency objectives in "operational" terms has important implications for agency management and personnel. When done effectively, defining objectives in operational terms means:

a) general purposes and good intentions can be translated into statements of specific performance
b) more detailed and comprehensive procedures are developed to guide the conduct of agency operations
c) the agency's work, and work assignments for the agency's personnel can be based on a clearer understanding of results to be accomplished
d) a) and c) above
e) b) and c) above

35. Effective implementation of MBO involves:

a) the process of people integrating themselves into an organization such as a public agency
b) a means by which people can direct themselves towards the agency's goals and purposes
c) a way to implement decisions on policy, strategies, organization structure and staffing
d) a) and b) above
e) all of the above

36. An overload of fustration in an agency setting, e.g., one in which impossible goals are set by unsupportive top management which persists in demanding that these goals be met despite inadequate time, resources and other "back-up", may result in the following reactions:

a) overtly aggressive behavior
b) scapegoating
c) efforts to meet frustrated needs in some more effective way outside the work setting
d) regression to immature behavior such as horseplay
e) all of the above

37. The major weakness(es) of "paternalism"--and its more contemporary off-spring, "hygienic management"--is (are) that it:

a) focuses attention and resources on the setting, or context of a job, rather on the work itself and what the work means to the person doing it
b) makes financial benefits, such as high wages, available, only to a limited number of employees, e.g., as rewards for high productivity, thus creating negative feelings on the part of most other personnel
c) neglects factors such as interpersonal relations (both with peers and superiors), the organization's policy and administration, and good physical working conditions
d) b) and c) above
e) all of the above

Pre/Post-test

38. Competition as a means to motivate managerial personnel has a number of disadvantages. They include:

a) the necessity for cooperation at many levels, to accomplish many tasks
b) the fact that professional people may be competing more for recognition in their own fields than for the goals that the agency has set for them
c) there are some people who are satisfied with their work, and want to stay in their present jobs
d) there are some people who are uncomfortable when they are expected to compare their work against their colleagues and attempt to outdistance them
e) all of the above

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument

CBA 4 - Unit (c)
Component (2)

____Fall 19____

Pre-test_____

Post-test______

____Spring 19____

____Summer Term 19____

INSTRUCTIONS

Read the following case study. Then answer each of the questions by filling in the appropriate letter on the answer sheet.

Wilma Grainger is a new Income Maintenance worker in the Pollstown Department of Social Services. Wilma listens carefully when clients talk about their problems. Many of the agency's clients are lonely and return to the agency to speak to Wilma. Wilma always speaks to them. Because of this, Wilma can only process half as many clients as the average worker .

Miss Griggs, the supervisor, criticized Wilma's job performance. "Wilma, you will have to work more quickly. If you want a job, you have to do the same work everyone else does. Don't forget, you are only a provisional employee. We have trained social workers in this department. I don't know what makes you think you can solve everybody's problems."

39. **Miss Griggs' style adheres most closely to the following model of management methods for motivating personnel:**

    a. **bargaining**
    b. paternalism
    c. internalized motivation
    d. **authoritarianism/economic sanctions**
    e. social work **interpersonal**

40. Of the following, the most effective strategy for Miss Griggs would be to;

    a. ignore Wilma's rate of work because the clients obviously like Wilma.
    b. offer to help Wilma become a social worker if Wilma Agrees, in turn, to work at a quicker pace.
    c. promote Wilma to a social worker's position, since Wilma has the qualities necessary and would probably be happier in her new job.
    d. remind Wilma that she is really only a clerk
    e. compliment Wilma on her warmth and pleasantness with clients, then discuss how Wilma can preserve a part of these traits while increasing her rate of work.

Read the following case study. Then answer each of the questions by filling in the appropriate letter on the answer sheet.

Joe Rogers replaced Bob Clark as supervisor of a Health Service Training Unit. Joe gives all the subordinates detailed instructions concerning every task they perform. Bob gave general work assignments and let the subordinates decide how they would attack each day's load. Reaction to the new supervisor is mixed. Older employees say that Joe is meticulous and interested in job-performance. Some younger agency employees say that they preferred working under Bob Clark.

41. Listed below are five statements. Choose the one that best explains the reaction of the training unit employees.

a. Younger employees do not want to be pressured into doing a meticulous job.
b. Younger employees are not interested in job performance.
c. Older employees tend to value a new supervisor.

d. Different styles of supervision work best with different populations.
e. A change in supervisory style leads to diminished productivity.

42. The new supervisor will be most effective in internalizing motivation for some of the younger employees if he

a. urges them to adhere strictly to the rules.
b. offers them an extra coffee break.
c. encourages their participation in decision-making
d. adopts some of the procedures used by his predecessor.
e. promises to provide a more decent work environment by instituting a slower work pace.

Rev. 6/78 Theory/Practice Curriculum in Public Administration

MASTER COPY HANDSCORE

Student's Name (Last, First) Testing Instrument CBA - 4 - Unit (d) Components 1 and 2

_____ Fall 19_____ Pre-test _____ Post-test _____

_____ Spring 19_____

_____ Summer Term 19_____

INSTRUCTIONS

Below is a job description for the position of Captain in a city Fire Department. It contains a statement of the Captain's duties and responsibilities, examples of typical tasks a captain performs and the qualification requirements a candidate must meet in order to be considered for the job.

The mission of the Fire Department, of which this Company is a part, is "to control, extinguish and prevent" fires; the company's goals are consistent with that mission; it serves a large and heavily populated urban community which contains stores and other commercial property as well as residential, educational and health facilities.

1. List two additional responsibilities for the Fire Captain that relate directly to ethical and philosophical dimensions of the agency's mission.

2. List two additional qualification requirements that would be relevant to appraising a candidate's ability to handle these responsibilities.

THE FIRE SERVICE CODE No. 70365

CAPTAIN (FIRE)

General Statement of Duties and Responsibilities

Under general direction, is in responsible command and control of a company; performs work related to the control, extinguishing and prevention of fires.

Examples of Typical Tasks

Commands and assumes responsibility for the efficient operation of a company. Is responsible for the discipline of members in his command, and for the maintenance and protection of all department property in or assigned to the unit. Directs operations to control or extinguish fires. Directs operations to prevent fires.

Qualification Requirements

One (1) year of permanent service in the title of Lieutenant ((Fire Department)). Passes a written examination on the regulations of the New York City Fire Department.

Direct Lines of Promotion

From: Lieutenant (70360) To: Battalion Chief (70370)

CBA-4-Unit (d) components 1 and 2
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Pre/Post-test

Answer questions 1 and 2 on this sheet

Question 1

Question 2

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Pre/Post-test

CBA 4 Unit (a) Component 1

Answer Key	**Source**
1. e	Golembiewski, p. 537 and Glossary
2. e	" " p. 539
3. e	" p. 541
4. e	Glossary, p. 6
5. c	Glossary, p. 3
6. b	Glossary, p. 5
7. a	Glossary, p. 4
8. b	Mosher, p. 96
9. c	Mosher, p. 96
10. d	Mosher, p. 96
11. b	Mosher, p. 96
12. a	Mosher, p. 97

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Answer Key - CBA 4 - Unit (a), Component (2)

13. a

14. d

15. b

16. b

17. c

18. c

19. b

20. a

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Answer Key - CBA 4 - Unit (b), components 1 and 2

21. a

22. a

23. b

24. d

25. c

26. d

27. b

28. c

29. a

30. d

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Pre/Post-test

CBA-4 Unit c, Component 1

Answer Key	Source
31. d	NYC Manager Performance Agreement, File: FD-3, 1/1/76. included in Unit 'c', Sample Manager Performance...etc., etc"
32. b	"Management Performance...etc.", File: FD-2, 1/1/76
33. d	Glossary, item #1
34. d	Drucker, p. 13
35. d	Drucker, p. 19
36. e	Strauss & Sayles, p. 123
37. a	Strauss & Sayles, pp. 126-127
38. e	Strauss & Sayles, p. 131

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Pre/Post-test

Answer Key - CBA 4 - Unit (c) Component 2

39. d
40. e
41. d
42. c

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Unit (d), components 1 and 2

Student's Name (Last, First

Rating Scale for Assessing Pre/Post test on Unit (d)

Rating Scale Code:	1 = Poor
	2 = inadequate
	3 = adequate
	4 = good
	5 = excellent

First new job responsibility

1. Does the new job responsibility foster community participation and democratic values in providing service to the public? 1 2 3 4 5

2. Does the new job responsibility foster responsiveness and sensitivity to the comunity's needs and problems in connection with the agency's mission? 1 2 3 4 5

3. Does the new job responsibility foster democratic values within the agency by maximizing the opportunity for responsible participation and self-actualization of an employee in that particular job title? 1 2 3 4 5

Second new job responsibility

4. Does the new job responsibility foster community participation and democratic values in providing service to the public? 1 2 3 4 5

5. Does the new job responsibility foster responsiveness and sensitivity to the comunity's needs and problems in connection with the agency's mission? 1 2 3 4 5

6. Does the new job responsibility foster democratic values within the agency by maximizing the opportunity for responsible participation and self-actualization of an employee in that particular job title? 1 2 3 4 5

Rating Scale (cont'd.)

7. Do the additional qualification requirements appraise skills and abilities necessary to perform the new job responsibilities? 1 2 3 4 5

   a. Do they assess for interpersonal and group skills? 1 2 3 4 5

   b. Do they assess for knowledge of and sensitivity to community values and needs? 1 2 3 4 5

   c. Do they assess for the ability to encourage and maximize community participation? 1 2 3 4 5

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CBA-4 Unit (a) - In-Semester Quiz Instructor ____________

INSTRUCTIONS: Complete the following definition of public personnel administration by selecting the most appropriate answer for each word or phrase ommitted.

The management of ___(1)___ in government organizations in order to attain the ___(2)___ of these organizations.

1. Step 1 - a. labor relations activities
   - b. human resources
   - c. intergroup relations
   - d. training and development programs
   - e. none of the above

2. Step 2 - a. optimum size
   - b. budgetary projections
   - c. goals
   - d. public support
   - e. none of the above

INSTRUCTIONS: Public personnel administration usually involves a number of major activities. Ten items are listed below. Designate each as (a) for True or (b) as False depending on whether you believe it is usually included as one of them.

3. budgeting
4. recruiting
5. supervising
6. selection
7. coordination
8. classification
9. compensation
10. training and development
11. forcasting
12. employee relations

INSTRUCTIONS: Answer the following questions (a) if you believe the statement is True and (b) if you think it is False.

13. In its relationships with federal agencies, the U.S. Civil Service Commission is sometimes perceived as a manipulator of the agencies, trying to get them to do the work while the Commission retains the authority

14. The U.S. Civil Service Commission often can generate sparks with federal agency officials in connection with its control activities. Although the Commission may be "staff," much of its "help" in effect constitutes controls over the "line."

15. Although the U.S. Civil Service Commission has been historically involved with protection and procedures--consistent with its concern to keep politics out of the Civil Service--since World War II it has had a strong bias in favor of the effective use of human resources and managerial flexibility.

16. One condition which the Federal government places upon state programs which receive matching funds is that the programs be administered by employees recruited and regulated by merit system principles. This practice was introduced in the 1930's with the advent of large-scale federal matching funds to state welfare programs.

INSTRUCTIONS: Read the statement below and then select the item from those which follow that you believe is the most correct.

17. It is recognized that recruitment and retention policies influence work output. However, they are not the only factors; these variables also include:

    a. Training
    b. Supervision
    c. Management orientation
    d. Organization climate
    e. all of the above

INSTRUCTIONS: Answer the following statements by using (a) if you believe it is True or (b) if it is False.

18. It is commonly thought that merit systems are characterized by better quality or quantity of work output than patronage systems. In recent years, however, some cogent arguments and evidence have called into question the validity of that assertion.

19. Contrary to myth, strikes of government workers have been widespread for years. Bus drivers, nurses in public hospitals, public school teachers; and sanitation workers have sometimes brought public services to a virtual halt to gain their demands.

20. Bureaucracy, the great administrative reform of the Progressive Era, valued systematization, standardization, efficiency, economy, equity in compensation and job duties, and narrow job responsibility. Today, a new and different reform movement directed against bureaucracy is underway, advocating initiative, self-determination, and equity in treatment, and has made great progress.

INSTRUCTIONS: Public personnel system do not reflect one single set of values. Being part of society, they reflect all of the major values which society advocates. Naturally, these values are sometimes in conflict with one another. Answer each of the questions which follow by selecting the value(s) listed below which contradicts or is in conflict with the value described in the questions.

    a. open opportunity
    b. strict accountability
    c. economy and efficiency
    d. obedience to political policy and decision-makers
    e. none of the above

21. Employees value tenure, seniority and financial security
22. Experimentation and innovation are valued.
23. Positive value is placed on broad grants of responsibility and initiative
24. Leadership from community organizations and the dictates of individual conscience are valued.

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GBA -4 - Unit (a) In-Semester Quiz

Answer Key

1. b - Source-Glossary - Multiple choice
2. c - "
3. b - Source-Glossary - True-False
4. a "
5. b "
6. a "
7. b "
8. a "
9. a "
10. a "
11. b "
12. a "
13. a - Source- Golembiewski & Cohen, p. 42
14. a " pp. 42-43
15. b " p. 39
16. a " p. 162
17. e " p. 163
18. a " p. 163
19. a " p. 165
20. b " p. 166
21. a " pp. 166-167
22. c " "
23. b " "
24. d " "

Instructor ______________ Semester ______________

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CBA 4

Unit (b), In-Semester Quiz

INSTRUCTIONS: Read the following statements below. Then select the item from those which follow that you believe is the most correct.

1. The process whereby officials bundle tasks into positions and then group the positions into classes is know as

   a) formulation
   b) categorization
   c) classification
   d) all of the above
   e) none of the above

INSTRUCTIONS: Complete the statement below. Fill in the blank by selecting the item from those which follow that you believe is most correct.

2. After positions are organized into classes it is customary to attach a ______ __________ to each class.

   a) training and development plan
   b) recruitment order
   c) pay scale
   d) promotion sequence
   e) none of the above

INSTRUCTIONS: Read the following three questions and selcet the most appropriate answers.

3. A GS-3 supply clerk for the Federal Government whose job description is very elaborately detailed and concrete, and covers three packed pages, is part of a classification system that might well be described as:

   a) imprecise
   b) precise
   c) simple
   d) complex
   e) elemental

4. A local government job classification system with 52 classes of positions and about 180 full-time employees would be described as:

   a) imprecise
   b) precise
   c) simple
   d) complex
   e) elemental

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CBA 4-Unit (b) - In-Semester Quiz (cont'd.)

INSTRUCTIONS: Answer the questions below by selecting the item from those which follow that you believe is the most correct.

5. The complexity of a job classification system can be gauged by:

   a) the total number of positions which it encompasses
   b) the number of employees in relation to the number of positions (i.e., jobs) which exist in the system.
   c) the number of classes of positions in relation to the size of the work force.
   d) none of the above
   e) all of the above

6. Classification systems have an impact upon:

   a) who gets which government jobs in the first place
   b) whether employees get comparable salaries for doing comparable work
   c) the kinds of satisfaction(s) which government employees may get out of the work they do
   d) none of the above
   e) a), b) and c) above

7. In recent years many governments have launched affirmative action program to hire more minorities. The "New Careers" concept, which is one approach that has been used, is associated with the following:

   a) developing new sub-professional job slots based on tasks requiring less formal education and/or discretion, that used to be included in the scope of professional jobs in the agency.
   b) the idea that a precise classification system can be used to foster a greater division of labor in an agency.
   c) establishing new classes of positions that call for less education and less advanced skills
   d) a) and b) above
   e) a), b) and c) above

8. Job enlargement in a civil service context may include:

   a) increasing the number of tasks a person does
   b) increasing the autonomy and responsibility of an employee for what (s)he does and how (s)he does it
   c) increasing an employees' intrinsic satisfaction in the work (s)he does
   d) increasing the ambiguity concerning appropriate behavior on the job which may produce dissatisfaction on the part of the worker
   e) all of the above

9. Intra-agency personnel systems are organized in various ways in different agencies. Select the item below that best describes the elements which they all have in common.

   a) a system composed of a centralized unit which has specialists who are detailed to work at various public agencies in the field.
   b) a decentralized or centralized structure which is responsible for at least some of the personnel activities of all of the line agencies in a given jurisdiction
   c) the form of organization, type and allocation of personnel staff, and lines of authority on personnel matters in a particular agency.
   d) a) and b) above
   e) all of the above

Semester________________

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CBA 4- Unit (b) - In-Semester Quiz (cont'd.)

10. Intra-agency personnel systems may be organized into various models. Select from the items below the one which best describes one of these models.

    a) Independent Commission-Executive
    b) Centralized Generalists
    c) Differentiated (i.e., complex and precise)
    d) b) and c) above
    e) None of the above

11. Advantages of the "Centralized Specialist" model of intra-agency personnel systems include:

    a) the ease with which line managers can identify the appropriate personnel technican to help solve a personnel problem
    b) expertise in various personnel functions exists within the agency
    c) the agency head's need for specialized resources in various personnel functions is readily available should (s)he need assistance in personnel policy making or revision.
    d) personnel technicans have the opportunity to develop substantial knowledge about the line operations of the agency
    e) b) and c) above

12. One model of intra-agency personnel systems identified as "Integrated Specialists-Generalists" is an arrangement which includes decentralized personnel generalists and also a centralized unit of personnel specialists. Identify the item which best describes the disadvantage(s) of this model.

    a) Personnel technicans have expertise in various functional areas, e.g., recruitment, classification, etc., and are available for assistance when problems or needs arise which require some solid, expert knowledge in their field.
    b) A mechanism exists within the agency to facilitate appropriate and consistent implementation of personnel policies throughout the agency.
    c) A substantial proportion of the agency personnel staff reports directly to managers of line operation units, which really enables then to help improve the agency's productivity because they get to know the work and people of their unit.
    d) personnel staff may well be faced with conflicts between the needs of the line unit to which they are assigned and the directives they receive on personnel policies from the central unit.
    e) a) and b) above

13. A number of characteristics of intra-agency personnel systems are listed in the question which follows. Identify the type of system from those listed below which best describes this cluster of characteristics.

*each personnel technican works as a generalist
*all of the personnel staff if located in one central unit
*each personnel technican is usually familiar with the manager(s) and actual operation(s) of an operating unit within the agency.
*expertise in the specialized aspects of personnel administration is likely to be limited

a) Centralised specialists
b) Centralized generalists
c) Decentralized generalists
d) Integrated specialist-generalists
e) none of the above

14. A number of characteristics of intra-agency personnel systems are listed in the question which follows. Identify the type of system from those listed below which best describes this cluster of characteristics.

*each personnel technican works as a generalist
*personnel staff are assigned to report to line managers (e.g., bureau chiefs) who provide direction and control to their activities
*line managers (e.g., bureau chiefs) are responsible and accountable for implementing personnel policies and procedures
*personnel staff really get to know the manager(s) and operations of line units, and relationships of mutual trust have a good opportunity to develop

a) Centralized specialists
b) Centralized generalists
c) Decentralized generalists
d) Integrated specialist-generalist
e) none of the above

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CBA 4
Unit (b) - In-Semester Quiz

Answer Key

1. c - Source - Golembiewski p. 515
2. c - " " p. 515
3. b " " p. 516
4. d " " P. 516
5. c p. 516
6. e " " p. 517
7. e " " p. 518
8. e " " p. 520
9. c " - Unit b "Intra-agency Personnel Systems" (offset)
10. b " " (and Unit (a) materials on Central Personnel Systems for item a) of question 10.)
11. e " " Model A
12. d " " Model D
13. b " " Model B
14. c " " Model C

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CBA 4

Semester Year
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In-Semester Quiz - Unit (c), Component 1

1. Personnel classification reform to facilitate MBO and other efforts to improve agency productivity by giving management more freedom in certain areas may well include broadbanding and consolidation. The results anticipated from utilizing these two measures typically include:

   a) greater flexibility in the assignment of work
   b) merging duties and responsibilities of related titles
   c) reducing the number of levels in an occupational group
   d) (b) and (c) above
   e) all of the above

2. One of the main reasons why the introduction of MBO may not lead to real changes in an agency's effectiveness and productivity is:

   a) the basic principles of MBO are quite complex
   b) the use of MBO rules and procedures may be mistaken for the accomplishment of substantive change
   c) most agency objectives are not capable of being readily translated into operational terms
   d) a) and c) above
   e) all of the above

3. Some of the reasons why MBO can be especially useful to public service institutions such as government agencies include:

   a) public service institutions always have a number of objectives, some of which may be incompatible--or even in conflict with each other.
   b) the measures generally available for gauging success in government agencies, especially in the budget area, are rarely tied to effective performance and the achievement of goals
   c) the nature of government agency resources, work and processes do not provide easily discernible ways of recognizing progress toward desired results
   d) a) and b) above
   e) all of the above

4. The challenges which may face public agency managers and policy-makers, when MBO is taken seriously, include:

   a) the realization that an agency actually has no objectives which can serve to guide work and judgements about progress towards real results
   b) the awareness that agency priorities need to be set based on what is most important and urgent
   c) the willingness to recognize goals and activities that ought to be postponed (or abandoned indefinitely) and to face the consequences of doing so
   d) the allocation of adequate and appropriate resources to achieve current, high-priority objectives.
   e) all of the above

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CBA 4 - Unit (c) - In-Semester Quiz, component 1 (cont'd.)

5. The criteria (and subsequent feedback) developed under MBO for judging progress towards results can be highly beneficial by:

    a) focusing agency vision outward, e.g., on provision of service to clients or the general public, instead of inward, e.g., on the efficiency of internal agency operations
    b) helping people decide whether stated agency policy priorities are really serious or just "administrative doubletalk"
    c) providing some clear-cut bases for deciding where agency effort(s) should be focused
    d) a) and b) above
    e) a), b) and c) above

6. One important "management" consequence of effectively implementing MBO is its implications for personnel decisions and procedures.

    Identify the item below which best describes management action in the personnel area which can help make MBO work.

    a) seriously consider the possiblity that every existing job may well be the wrong job and needs to be redirected or restructured
    b) view job assignments as short-lived, and review them regularly
    c) force questions about how the specific assignments in agency positions make the greatest contribution, given the agency's goals, priorities and strategies at the time
    d) a) and c) above
    e) all of the above

7. Effective implementation of MBO involves:

    a) the process of people integrating themselves into an organization such as a public agency
    b) a means by which people can direct themselves towards the agency's goals and purposes
    c) a way to implement decisions on policy, strategies, organization structure and staffing
    d) a) and b) above
    e) all of the above

8. The most traditional approach to motivating personnel emphasizes the force of authority and economic rewards/sanctions.

    Select the item below which best describes the practice(s) associated with this approach.

    a) close supervision
    b) threat of job loss
    c) assignment of detailed tasks, often accompanied by narrow scope of work
    d) precise directions and rules
    e) all of the above

9. The administrative assistant to a youth center director in a low-income, high crime area is a very conscientious middled-aged woman who has worked for the director, a man, for several years. She has an excellent record of efficiency; but on a certain day she failed to prepare an important report. The director, who is a kind and reasonable person, reacted by criticizing his assistant at length in a angry and harsh way. The most sensible and realistic interpretation of his behavior is:

a) This behavior is designed to get the report out most quickly
b) Acting this way will change the assistant's negative pattern of behavior and will prevent occurrences of this particular mistake
c) The director may be working under excessive pressure to carry on programs, recruit participants, get goal results and prepare comprehensive reports with inadequate staff, funding and management support; and this incident triggered off an aggressive reaction which is not suprising under the circumstances
d) a) and b) above
e) all of the above

10. The major weakness(es) of "paternalism"--and its more contemporary off-spring, "hygienic management"--is(are) that it:

a) focuses attention and resources on the setting, or context, of a job, rather on the work itself and what the work means to the person doing it
b) makes financial benefits, such as high wages, available only to a limited number of employees, e.g., as rewards for high productivity, thus creating negative feelings on the part of most other personnel.
c) neglects factors such as interpersonal relations (both with peers and superiors), the organization's policy and administration and good physical working conditions
d) b) and c) above
e) all of the above

11. Some of the major ideas and practices associated with "internalized motivation" as a means to work effectiveness and productivity are:

a) the work, itself, is seen as the main source of satisfaction
b) styles of leadership have very important consequences for how far this can develop in a particular agency
c) opportunities to help solve problems related to the work may be an important factor in how hard people try to do the work once the decisions are made
d) This works best where the nature of the job is consistent with a fair measure of autonomy, e.g., in many professional positions.
e) all of the above

Semester Year

12. Effective managerial supervisory styles vary, and this is appropriate and realistic, in relation to their own personalities, high-level leadership patterns, and the work of the unit(s) which they supervise. However, there are certain activities which most good managers, concerned about their employees and the work to be done, attempt to engage in whenever possible. They include:

a) providing as much information as possible about what is expected from a staff member, how much freedom s(he) has to make decisions, and what is happening, generally, in the agency
b) narrowing employees' focus, so that their own work is seen as most important, without the distraction of how it relates to over-all agency mission and goals
c) keeping the lines of communication open, both upwards and downwards, in relations to tasks to be accomplished, decisions made and to-be-made, availability of resources, and other issues affecting the work of the unit
d) a) and c) above
e) all of the above

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CBA 4 - Unit (c)-In-Semester Quiz, component 1

Answer Key	Source
1. e	NYC Personnel Digest, p. 3
2. b	Drucker (PAR) on MBO, p. 13
3. e	Drucker, p. 13
4. e	" pp. 13, 14 and 15.
5. e	" pp. 16-17
6. e	" p. 19
7. d	" p. 19
8. e	Strauss & Sayles, p. 120
9. c	" " pp. 120-123, esp. 123
10. a	" " pp. 126-127
11. e	" " pp. 133-134
12. d	" " p. 167 (& 168-171)

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CBA 4
Unit (d) - In-Semester Exercise

Social Security

Reading - P.A. 105 unit (d)

The preamble to the law which created the Division of Community Education within Puerto Rico's Department of Education in 1949, during the decade characterized as "The Quiet Revolution," read as follows:

> The goal of community education is to impact basic teaching on the nature of man, his history, his life, his way of working and self-governing in the world and in Puerto Rico.
>
> Such teaching, addressed to the citizens meeting in rural and urban communities, will be imparted through motion pictures, radio, books, pamphlets, posters and group discussions.
>
> The object is to provide the good hand of our popular culture with the tool of a basic education.
>
> In practice this will mean giving to the community the wish, the tendency and the way of making use of its own aptitudes for the solution of many of its own problems of health, education, co-operation, social life through the action of the community itself.
>
> The community should not be civically unemployed.
>
> The community can be constantly and usefully employed in its own service, in terms of pride and satisfaction for the members thereof.

The new law was viewed as an opportunity to establish and keep alive an equalitarian society and the objectives defined to accomplish this included the following:

> To help the neighbours understand that it is their right and responsibility to know and to participate in all matters affecting their communal welfare and that knowing this they can find the way to create a dynamic community supported by their own efforts and contributions.
>
> To help the neighbours develop the process of group discussion in meetings where democratic participation is assured and where consensus, reached by agreement based on thorough analysis, takes the place of voting.

To help them see that no planning and action by a community can be democratic in its nature unless it is based on scientific study.

To help the people of a community (including their leaders) study, through a living experience, the purpose and role of democratic leadership.

To help them come to action, to the solution of a problem, as the result of these concerns so that any physical expression of their labours shall be understood not as the end product but as a natural contribution in the democratic order of things.

And when the day comes for celebrating the solution of a problem, to help them see clearly that just as the planning and action was theirs, so the speech-making, the laughter and the praising must be theirs. For who can better dedicate a new road or a new school than those who with their heads, hands and hearts helped to build it? In this way, in the words of Walt Whitman, they will understand the nature of past struggle; "that it is provided in the essence of things that from any fruition of success, no matter what, shall come forth something to make a greater struggle necessary."

* * *

The key staff member on which such a program of community development rested -- then, as now -- was its field worker, known in the program as a "group organizer;" his/her over-all responsibility was to assist a region of the Island to develop its capacity for thought and expression, the development of democratic participation/leadership processes, and the identification and accomplishment of self-help projects. It was recognized from the beginning that the field organizers would have to be learners and participants as well as educators and to have the capacity for constructive and flexible self-criticism and personal growth.

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Unit (d) - In-Semester Exercise (cont'd.)

The job description responsibilities and qualification requirements below are only partially complete.

1. Please list two additional responsibilities which can help to carry out the mission and achieve the stated objectives, using one or two sentences for each, selecting responsibilities which have ethical and/or value dimensions of a democratic nature.

2. For each new responsibility in the job description, list one or two qualification requirements which -- ideally -- one would include in recruiting personnel with those responsibilities. Please be sure to identify which of the two new responsibilities each of the proposed new qualifications relates to.

Community Education Division Job Description

Group Organizer

General Statement of Duties & Responsibilities

Under general direction, is responsible for assisting a region to develop its capacity for thought and expression, the development of democratic participation/leadership processes, and the identification and accomplishment of self help projects.

Examples of Typical Tasks

Assisting community residents and leaders in developing democratic processes through which group decisions can be made. Providing communities with books, pamphlets, posters, slides, films, etc., for use in group discussion and decision-making.

Qualification Requirements

10th grade reading and writing level.
Ability to utilize equipment needed for presentations of films and other media.
Knowledge of commonwealth history.

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Unit (d)--In-Semester Exercise

Answer Sheet for In-Semester Exercise (unit (d))

Question 1

a)

b)

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Unit (d) - In-Semester Exercise

Answer Sheet for In-Semester Exercise Unit (d), (cont'd.)

Question 2

a) (which responsibility? ______________________________)

b) (which responsibility? ______________________________)

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Student's Name (Last, First)

Rating Scale for In-Semester Exercise - Unit d

Rating Scale Code:
0 = Not answered
1 = Poor
2 = inadequate
3 = adequate
4 = good
5 = excellent

First new job responsibility

1. Does the new job responsibility seem likely to help foster positive social values and/or democratic ideas such as community participation in activities of the program? 0 1 2 3 4 5

2. Does the new job responsibility seem likely to foster --in the program staff--increased awareness and sensitivity to the problems and needs of the community which s(he) serves, as perceived by the community's leaders and residents? 0 1 2 3 4 5

3. Does the new job responsibility seem likely to foster personal commitment and/or increased opportunity for self-controlled participation of program staff in activities contributing to realization of the agency's mission and goals? 0 1 2 3 4 5

Second new job responsibility

4. Does the new job responsibility seem likely to help foster positive social values and/or democratic ideas such as community participation in activities of the program? 0 1 2 3 4 5

5. Does the new job responsibility seem likely to foster --in the program staff--increased awareness and sensitivity to the problems and needs of the community which s(he) serves, as perceived by the community's leaders and residents? 0 1 2 3 4 5

6. Does the new job responsibility seem likely to foster personal commitment and/or increased opportunity for self-controlled participation of program staff in activities contributing to realization of the agency's mission and goals? 0 1 2 3 4 5

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Rating Scale for In-Semester Exercise - unit d, (cont'd.)

7. Do the additional qualification requirements involve qualities, skills and/or abilities that are appropriate to the new job responsibilities? 0 1 2 3 4 5

    a. Do they assess for awareness of positive social values and/or democratic ideas, and abilities (e.g., in community organization) which may help to facilitate their realization? 0 1 2 3 4 5

    b. Do they assess for knowledge of community values and/or needs and sensitivity to community perspectives? 0 1 2 3 4 5

    c. Do they assess for the ability and/or potential for personal commitment and self-controlled participation in activities which contribute to effective pursuit of agency mission/program goals? 0 1 2 3 4 5

CBA 4

Glossary

Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977

CBA 4 Revised 12/77

GLOSSARY OF CENTRAL CONCEPTS IN PUBLIC PERSONNEL ADMINISTRATION

1. Broadbanding and Consolidation.	An effort by some public jurisdictions to reduce the excessive proliferation of titles by combining similar titles both horizontally and vertically. Broadbanding involves the combination of titles with similar or related duties (with the effect of broadening the range of duties that can be performed by an employee in the title). Consolidation involves the reduction of the number of levels in an occupational series (with the effect of broadening the range of responsibilities for an employee in the title). Some public agencies feel that this process increases the agency's flexibility in assigning work, and improves the career prospects of the employee.
2. Career Ladder.	The normal route by which public employees can be expected to advance (or be promoted). Such movement usually takes place within an occupational series or group in which each ascending level contains similar duties but with increasing scope for the exercise of indepedent discretion.
3. Closed System.	Closed career systems permit only those who enter below certain grades to progress through ranks. Examples in names or fact where this occurs include the military, foreign service, the CIA, the FBI, the U.S. Forest Service, academic staffs in public universities, police and fire departments and many government agencies which regularly promote only from within. While many personnel systems make provision for entry at mid or upper levels, technically qualifying them as open systems, it is only rare individuals who enter at these levels.

4. Collective Bargaining.	In most jurisdictions, public employees have the right to join employee organizations, to be represented by these organizations, and to bargain collectively in respect to their conditions of employment. Although many areas now open to negotiation (such as pay, fringe benefits, work or performance standards, time and leave provisions, and disciplinary procedures) were once determined by government executives and legislatures and were reflected in the rules and procedures of the civil service system itself, employee organizations are playing a larger and larger role in determining the conditions of employment. In the view of some, the larger role of employee organizations has eroded the sovereignty of executives and legislatures, and has led to a basic conflict between the economic interests of public employees and the wider public interest.
5. Compensation Systems.	Most public jurisdictions link their compensation or pay systems to their classification systems. Salary ranges or grades are generally attached to each class of positions (or title). Pay plan administrators usually attempt to maintain equitable relationships between levels and among comparable titles. Actual pay scales are frequently determined as a result of collective bargaining with employee organizations. Negotiators often look to wage surveys on comparable titles in other jurisdictions and private employers as well as to inflation rates in setting salaries. Public employers, however, are being increasingly constrained by "the ability to pay."
6. Discipline.	Most civil service systems have rules and procedures which provide penalties for violation of rules, nonperformance, or incompetence. Possible penalties range from a warning or reprimand to suspension without pay, demotion, or dismissal. For the more severe penalties there are usually procedures for departmental hearings and appeals, Because of the larger role of employee organizations, a parallel structure of union grievance procedures frequently exists side by side with the structure provided in the civil service rules to handle disciplinary mattters,

	E.E.O.C. (Equal Employment Opportunity Commission).	A Federal agency which first issued guidelines on employee selection in 1972. These guidelines, which the courts have interpreted as having the force of law, have had a profound impact on selection criteria in the public sector. They affect all types of selection instruments whenever such instruments are used for personnel decisions such as hiring, promotion, salary increases, training, etc. If a selection instrument is shown to have "disparate impact"(i.e., discriminate against minority groups), the public agency being challenged must show that the instrument is job-related (based on the actual requirements of the job).
8.	Examination	A term that describes the series of steps designed to facilitate comparative ranking and selection (in the public service environment). An examination for public service jobs may involve a number of tests used in combination. Tests can be written, oral, practical, or simply an evaluation of training and experience.
	Fringe Benefits	An area of compensation. Although not reflected in the employee's actual paycheck, it is assuming a higher and higher proportion of the labor costs in many public jurisdictions. Fringe benefit items would include pension plans, health insurance, dental plans, vacation, etc.
10.	Incentives.	Rewards in recognition of superior performance that are intended to motivate employees to work toward good performance. Incentive awards can take the form of special citations, monetary awards, special honors, suggestion awards, etc. These awards, however, cannot replace recognition at the worksite, and should not be relied upon too heavily.
11.	Job Analysis	An examination of the tasks actually performed by incumbents in a particular class of positions (or title). Analysts would normally examine only a sample of positions in the class, not all of them (i.e., 10% of all Senior Clerks). Job Analysis is used for purposes of classification, selection and training. When used for selection, the job analysis must also include the determination of the knowledge, skills, and abilities needed to perform the job. The selection instrument or examination must actually measure these skills and abilities needed to do the job. Such analysis is now mandatory for all examinations under EEOC guidelines.

Job Description	A job description (or class specification) is usually the end product of the job analysis process. It details the general duties and responsibilities (including the degree of supervision under which the job is performed), minimum qualification requirements, and a listing of typical tasks performed by incumbents in the title.
13. Job Restructuring	An effort on the part of many public jurisdictions to build more motivating and satisfying elements into the jobs. This is accomplished by broadening the scope of jobs in terms of level of responsibility and opportunity to exercise discretion.
14. Labor Relations	An area that has become increasingly important in public personnel administration as employee organizations and collective bargaining have assumed a larger role. This area involves the adjudication of employee greivances, and the settlement of disputes through mediation or arbitration.
15. Merit System.	The merit system is designed to provide (1) the best-qualified personnel for Government service, (2) equal opportunity for all interested citizens based on their qualifications and suitability for the work to be done, and (3) continuity of service through periodic changes in political administration. Selection is usually based upon open-competitive examinations by which candidates are appraised as to their relative fitness.
16. Minimum Qualification Requirements	Requirements that candidates must meet in order to take an examination. They are usually phrased in terms of education, training, experience, or licenses. These qualifications are deemed necessary to perform at a minimum level on the first day of the job. They must therefor be indicative of the knowledge or skills that are critically necessary to perform the job. Minimum qualification requirements that are not strictly necessary may discriminate against disadvantaged groups.
17. Non-Competitive Examination	When it is not practicable or feasible to fill a particular type of job on a competitive basis, non-competitive examining methods are used. Candidates must qualify, but they are not ranked against each other.

	ompetitive xamination	One or more tests open to anyone who can meet the minimum qualification requirements (usually for entry level jobs in public agencies). Open Competitive examinations are also sometimes used to fill higher level jobs when agencies feel that they lack qualified candidates within the service.
19.	Patronage	The practice of filling public jobs on the basis of party loyalty or association. This practice still exists to some extent in the filling of high-level positions in many public jurisdictions.
20.	Performance Evaluation	Most public jurisdictions have some kind of system for evaluating or measuring employees' performance. Many advocates feel that it should serve as the focal point for maintaining and improving employee performance, in identifying training needs, in granting rewards, and in assessing the potential for promotion. Most systems in the past have focused on personal traits or characteristics, and have suffered from subjectivity. The more modern approaches focus on employee behaviors or results actually displayed on the job.
[illegible]1.	Placement	The matching of individuals, once inside the organization, to specific positions on the basis of strengths and cometences possesed by the individual as compared with the specific strengths and competences required for a specific position.
22.	Position Classification	A rational method for organizing all jobs in a public jurisdiction in to groups or classes on the basis of their duties, responsibilities and qualification requirements. Such systems are then used as the basis for pay, recruitment, selection, etc. It is a foundation for ensuring "equal pay for equal work." Position- The basic component of a position classification system. It is a cluster of tasks performed by one individual (regardless of who occupies the position). Class of Positions- A group of positions sufficiently alike in their duties and responsibilities to justify common treatment in selection, pay, and other employment processes. Each such class is assigned a distinctive title., e.g., Senior Clerk. Occupational Group- A hierarchy of classes of positions which are related to each other but which operate at ascending levels of responsibility, increasing scope for the exercise of indepanddent judgment, and under more general supervision.

23. Probation	In virtually all public agencies, employees must serve a probationary period before they become permanent, tenured civil servants This period is usually between six months and two years. It is considered a continuation or extension of the examination process. Many consider the probationary period to be the most valid mpthod of assessing the candidate's fitness for the job. Unfortunately, it is rarely used for this purpose.
24. Productivity	The relationship between the cost of labor inputs and the value of outputs. While the development of productivity measures in the private sector, where outputs have a specific value, has been no real problem, the developme of productivity measures in the public sector has been more difficult since services are sometimes difficult to quantify. Public jurisdictions, however, have been more active in recent years in attempting to develop meaningful performance and productivity measures. Some jurisdictions have even tied all salary increases to gains in productivity.
25. Promotion from Within	The normal method by which most public jurisdictions fill higher level vacancies within their civil service systems. Selection in those cases is usually also by competitive examination.
26. Public Personnel Administration	The management of human resources in governmen organizations in order to attain the goals of these organizations in an effective fashion. The function usually involves recruitment, selection, classification, compensation, training and development, and employee relations.
27. Recruitment	Good personnel practice as well as the merit system require that public agencies draw their personnel from the widest possible base of potential candidates. This implies the need for adequate publicity for job vacancies and examination announcements. In recent years, the courts have call for special recruitment efforts in target disadvantaged areas in cases where particular groups are underrepresented in certain classes of positions.

Strike Prohibitions	Most public jurisdictions have passed laws which prohibit public employees from striking and which impose penalties on those who violate these laws. In spite of these legal restrictions, many employee organizations have claimed and exercised the right to strike. Advocates of the right to strike claim that it is the most potent weapon in collective bargaining and that its absence puts public employees at a distinct disadvantage to their counterparts in private industry. Opponents claim that it would adversely affect the public interest, and that the rights of public employees are adequately protected by the civil service system itself.
Training and Development	These terms are frequently used synonymously, but some view training as a more structured approach in the sense of courses while development is seen as less structured in the sense of on-the-job experience and coaching by the supervisor. Development in the broadest sense can include formal courses, attendance at conferences and seminars, rotating or special assignments, supervisory coaching, self-development, reading, etc. Development can be oriented towards improving the individual's performance on the current job or towards the development of skills needed to enable the individual to perform higher jobs. The latter can be viewed as career development.

CBA 4 - Notes on Required Reading

A number of the items omitted can be readily replaced through the development of instructional materials by faculty or the acquisition of comparable materials from appropriate agencies or quasi-public agencies of relevance to a particular instructional program or the perspectives of students in a program. Some of the items omitted are described below; others appear to be self explanatory, based on the title. In selecting appropriate substitute materials, assessment method and criteria for the unit in which they appear are appropriate guides, as well as student assessment items included in the pre/post test and in-semester evaluations.

Unit a: #5 - "Federal Personnel Management Project; Option Paper #6. U.S. Government Printing Office, 1977, pp. 56-59, 61. The readings assigned from this option paper discuss legal mandates for "merit pay" and the reasons why "merit pay" practices are not viable.

Unit c: #8 - We are including a copy of, "Analysis of Changes in New York City's Personnel System Resulting From Charter Revision"; "Case Study: How the Personnel Function Supports the Attainment of Agency Goals In New York City's Fire Department*"; "Supplement to Case Study: ...". This constitutes the first portion of this item. The second portion consists of attachments. In lieu of describing the attachments (listed below), we are appending the first page of each attachment. "The Development of a Task Oriented Approached to Performance Evaluation in the City of New York"; Broadbanding and Consolidation"; "New York City Charter, Chapter 35, Department of Personnel, Appendix I"; "Personnel Policy and Procedure No. 511-78", in the Sample Materials section of the report.

CBA 4

Unit (b)

Intra-Agency Personnel Systems: Organization charts and descriptive material for each intra-agency model

Developed by The Theory/Practice Curriculum Project
Institute of Public Administration
Division of Social Science
Medgar Evers College

This was done under a grant from the Fund for the Improvement of Post Secondary Education (FIPSE), U.S. Department of Health, Education and Welfare.

INTRA-AGENCY PERSONNEL SYSTEMS

Model A: Centralized Specialists

Description: In this form of organization, staff, which is generally attached to a central office that reports directly to the agency head, is organized around several functional specializations such as recruitment and selection, classification and compensation, training, employee relations, and investigations. Each of these functions is usually represented by a division or unit. These units are coordinated by the director of personnel. These specialists are called upon to provide services within their areas of specialization on an agency- wide basis. This form of organization is usually found in very large departments.

Implications: The major advantage of this type of arrangement is that it leads to the development , and concentration in one place, of expertise within each of the personnel functions (e.g., testing, classification, etc.). This expertise is immediately available to the agency head in the formulation and implementation of policy. The disadvantages of the specialist approach are the following: a)line managers are forced to identify which personnel specialty their problems or needs come under and to deal with each specialty separately; b)line managers fail to get continuing overall advice on an integrated basis; c)the personnel office tends to see problems in fragments, failing to bring these together so that their interrelationships are understood and can be dealt with; d) personnel offices tend to become remote from and unresponsive to the needs of line management; and d)this approach, unless modified by rotations in assignments, sharply narrows the development and outlook of the individual personnel specialists.

For precisely the above reasons, the NYC Department of Personnel (though a central personnel agency) was recently reorganized from a specialist to a generalist model. Under the new arrangement, task forces, composed of personnel generalists, became responsible for servicing the entire spectrum of personnel needs of particular groups of agencies.

INTRA-AGENCY PERSONNEL SYSTEMS

Model B: Centralized Generalists

Description: Under this arrangement, the central personnel office, which reports directly to the agency head, is organized along the lines of the main functional subdivisions of the parent organization. General personnel representatives in each unit of the personnel office handle all personnel matters for a given segment of the agency. Thus, for example, within the Department of Highways (if this arrangement were used), one unit of the personnel office would be responsible for handling all of the personnel activities of the Bureau of Engineering. The generalist approach tends to be found in small operating departments.

Implications: The major advantage of this model is that it provides an integrated approach to personnel administration. Line managers do not have to decide which specialty their problem comes under: they merely have to make one contact or phone call to fulfill all of their personnel needs. In addition, the personnel technicians do not become narrow in their outlook or development. Since the personnel office is centralized, the agency head has a vehicle for implementing and enforcing personnel policy on an agency-wide basis. The disadvantages of this approach include the following: a)personnel representatives may develop only superficial familiarity with specialized personnel functions; b) there is less opportunity for expert advice on any one specialty; c)each of the personnel specialties, such as training and classification may call for different backgrounds and talents (which the generalist plan does not provide for); c) it is difficult to develop well-rounded generalists at junior and intermediate levels, since there is too little time for them to become adequately skilled in each of the techniques; and d)the generalist plan is not well geared for a situation in which a central office must perform policy-making and reviewing functions (since the expertise is not there).

INTRA-AGENCY PERSONNEL SYSTEMS

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Model D: Integrated Specialist-Generalist

Description: Under this arrangement, personnel generalists are assigned to handle the operating activities of particular components of the agency (on the staff of the line manager). There is also a central personnel unit composed of specialists. The specialists, who are on the staff of the agency head, , amy be called into play in the case of unusual problems. The specialists will also assist the agency head in the formulation of agency-wide personnel policy, and in the consistent implementation of such policy on an agency-wide basis. Although the generalists report to line managers, they are subject to the control and instructions of central office specialists.

Implications: This integrated approach has several advantages. Line managers are provided with personnel services on an integrated basis (by the personnel generalists), and there is therefore extensive delegation of personnel responsibility down to line managers. At the same time, the agency head has a core of expertise on which to call in the formulation of personnel policy. There is also a mechanism, by virtue of the central office specialists, for ensuring that personnel policies, standards and rules are implemented on a consistent basis throughout the agency. In addition, if a problem arises which a personnel generalist cannot handle, he can call upon the expertise of a central office specialist. There is, however, a major drawback to this arrangement. The personnel generalist, while reporting to the line manager, is also subject to the instructions of the central office specialist. There is in this situation a potential for conflict, divided loyalties, fragmented authority, and the development of an adversary relationship between the the generalists assigned to line units and the central office specialists.

CBA-4 - Unit (C)

New York Slimming Work Force With New Plan of 'Broad-Banding'

Management's Hand Is Strengthened as Many Civil Service Jobs Are Condensed Into Few

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8/15/77

By LEE DEMBART

(page 1)

A quiet revolution is taking place within New York City's municipal work force that could break down rigid Civil Service lines, strengthen management flexibility, decrease the total number of workers and increase the pay of those who remain.

Called "broad-banding," the process aims to consolidate dozens of narrow Civil Service titles into a few broad jobs whose descriptions encompass the duties performed by thousands of workers.

About 3,500 employees of the Parks Department and the Highways Department have already been broad-banded, resulting in a reduction of work-crew sizes in those departments from six people to five. Now the city and the unions representing its employees are attempting to work out terms for broad-banding 40,000 clerical workers, who make up one-fourth of all municipal employees, the largest single group.

Elimination of Some Tests

In the process, the city hopes to eliminate not only job titles but also many of the Civil Service examinations that had been used for years to determine promotions. In their place would be substituted a broad ranga of managerial discretion over who does what job. The union, District Council 37 of the State, County and Municipal Employees, which has cooperated with the city throughout the fiscal crisis, seeks, of course, to make sure that no worker's rights are abridged.

Practically everyone involved on both the city and the union side agrees that labor's receptiveness to the changes is a result of a new attitude among city workers that is a direct outgrowth of the fiscal crisis.

"The general atmosphere is different," said a senior official in the city's Office of Labor Relations. "There are people here who are committed to movement."

Victor Gotbaum, executive director of District Council 37, agreed. "There is a big atmosphere of change," he said. "Management and labor have set up a machinery that goes beyond the crisis. We're no longer fighting for gains that are automatic. We're fighting to stay afloat, and then to rebuild."

Efficiency the Goal

The new attitude that city labor-relations people talk about is evidenced in a multitude of small changes in work rules, productivity, improvements in which the workers share, a new city program to cut down on lateness and absenteeism and now, broad-banding, whose effects will be sweeping.

Over the years New York's Civil Service has become encumbered with thousands of job titles and promotion examinations. The city now employs people in some 3,000 titles in 240 occupational groups, compared with a few hundred titles in

NEW YORK SLIMMING CIVIL SERVICE FORCE

Continued From Page 1

22 occupational groups for the Federal Government.

"Broad-banding is going to change the whole structure of the Civil Service," said the official in the Office of Labor Relations. "Its intent is to allow the better people, the brighter people to move up quickly so they won't become disgruntled and move out."

"This is a major step forward," said the city's personnel director, Thomas F. Roche. "We're trying to get the most effectiveness out of a diminished work force."

In the Highways Department, workers in road-repair crews are no longer classified as laborers, asphalt workers, rammers, flaggers, pavers and motor-vehicle operators, each with narrow duties that the others are not allowed to perform. Instead every member of the crew can do every job, and they are all called highway repairers.

The problem in making this change was that the motor-vehicle operators—who drive trucks—earn from $11,000 to $13,575 a year, which is less than the $15,300 to $18,480 a year that workers in the other groups are paid.

Since the truck drivers will be eligible to do the same work, equity required that all motor-vehicle operators be reclassified as highway repairer trainees. They are automatically promoted to highway repairer after two years.

The advantage to the city is that five people now do the work that six did before, and if a truck driver, say, does not show up for work one day, the rest of the crew does not have to sit around and wait for another one. Someone else drives the truck.

A similar situation exists in the Parks Department. Significantly, the number of pay adjustments in Parks and Highways has been small, with the city and the union agreeing to negotiate new salaries for the new job descriptions when present contracts expire next year.

But the situation is more complex among the great mass of clerks who make the city government run and who are about to be broad-banded.

They are now grouped into six categories: clerk, senior clerk, supervisory clerk, administrative assistant, administrative associate and senior administrative assistant. Each step requires a separate Civil Service examination.

The city proposes to collapse the first three groups into one new group called office worker, with three pay levels ranging from $7,300 a year to about $12,000. These levels would correspond to the pay scales of the present groups.

Under this plan, managers would be free to assign any work to anybody in the new job title and would be able to move people up and down the pay scales.

Moving to the administrative level would still require a competitive examination, but under the plan, a new employee could go from clerk to administrative assistant in one year, a movement th[illegible] in the past has taken up to 20 ye[illegible]

Union Balks on Pay Question

On the question of salary, however, the union balks. "We don't think the proposal, as it stands now, is valid," said Al Viani, director of research and negotiation for District Council 37. "Management wants flexibility. We see no problem in that, but the employees have to share in what you gain."

Mr. Viani has proposed that everybody now earning $7,300 at clerk level immediately be put up to senior clerk's pay, $8,250. He said such a change would cost the city $2.5 million to $5 million.

"It would cost the city more to hire," he said, "but in exchange they would get tremendous flexibility."

Mr. Gotbaum noted that "the price that the worker is going to have to pay is greater responsibilities."

Eventually, the city hopes, having workers who can do more jobs will result in fewer workers, a situation that the union would not fight if it meant that the fewer workers were getting more pay. Any reduction in the work force by this method would be accomplished by attrition and not by laying off people.

If agreement can be reached regarding the clerks, the city plans to broad-band social service workers next and eventually to broad-band all of its workers who are not in technical jobs.

"Since the great mass of city employees are nontechnical people," said the Of[illegible] of Labor Relations official, "broad-ba[illegible]ing can be done to a terrific extent, a[illegible] it is being done."

CBA 4
Unit (c)

Edited remarks of Elsa Porter (MPA '71) from her keynote speech at the Conference on Women in Public Service.

Public management's response to the times we are living in is to pass laws and regulations. For our idea of government has meant to control, to regulate the excesses in any segment of the society that impinges on the common weal. So government has grown. We have so many laws and so many regulations, in fact, that we are about to strangle ourselves. Like our technological excesses, our proclivity for rulemaking has boomeranged, exacerbating the tensions in the society.

If you think I exaggerate let me give just two examples: I visited Oakland, California a few weeks ago, a booming city, renewing itself, especially its trade—it has one of the busiest ports on the West Coast. Developing that port means more ships in and out, more jobs for Americans, a reduction in our crippling trade deficit. The Director of the Port Authority told me that it now takes more than a year just to get approval to begin any new development along the waterfront because of the state's stringent environmental laws. That is if all goes well. But it rarely does because environmental protection advocates can go to court and tie up a project for years, and are doing it. I feel torn—the part of me that loves the environment says "That's good." The part of me that knows how badly we need new economic activity—new jobs—says "Hey, that's going too far." What is right? How could we settle those conflicts better?

In Government, we find ourselves so strangled by personnel regulations that we are virtually immobilized. The conflict there is between equity and efficiency. One of the major task forces working in President Carter's reorganization project is working on the problem—the

CAROL BELLAMY
JOHN DEARDOURFF
ALICE WOLF
MARIE HOWE
SHARON POLLARD

Personnel Management Reform Project. They did a case study of the time it took to fire an incompetent secretary—21 months of going up and down every appeal avenue. Thousands of dollars. I'm painfully aware of that because the case was actually one in the Commerce Department. It is almost as bad on the hiring side. In the Defense department, which is diminishing in size, because, thank goodness, we are not fighting a war, one field installation figured that if they followed all the rules—gave everyone on every stopper list a crack at a GS-14 vacancy, it would take nine months to fill the job. In the field, a GS-14 is a major job. It's usually the head of a sizable activity. It means that leadership stops or is put on hold all that time—in the name of equity. And we wonder about the quality of government service. The manager and taxpayer in me says "That's wrong. Equity has gone too far." It's too costly. The citizen in me says, equity-fairness is what this country is all about. Do we [illegible] the problems only in the courts?

In a speech recently before the American Bar Association, Attorney General Griffin Bell raised the alarm about the consequences of what he called the "law explosion."

"I like to think," he said, "that our ultimate goal is to make it possible for our system to provide justice for all." But "the pressures from the law explosion are severe, and the courts may not be equal to the task. Important rights may be lost. Defendants charged with crime may go free on bail, some to commit other crimes. Defendants convicted of crime may be free on bail pending delayed appeals. Business controversies may go unresolved because of the lack of a forum. Hapless plaintiffs with meritorious claims may go unpaid because of delay in trial and appellate courts." His message was that we have overloaded the legal system with our controversies, and it is about to collapse under the weight. What do we do then?

I don't think we can wait until then. What we must do now is to move deliberately away from litigation and confrontation. We must find other means of resolving conflict within the society. We must understand the roots of that conflict. It arises, I believe, out of our failure to realize, to focus on the human values to which we are so committed. It arises from the anger and dismay of people for whom life is a broken promise.

We made a promise of democracy—a commitment to human values and the flowering of human talent. We have not yet met that promise, and the courts alone cannot provide it. Reason and the rule of law alone will not get us where we know we must go. Something bigger is required. It is human trust and caring. It is cooperation instead of confrontation—partners instead of adversaries.

We have to reduce the number of people going to court, going on strike, the number of people who hate their work and their companies. We have to reduce the distrust of Government by the people, of business by consumers, of countries by one another.

Well how do you do that? It requires a different quality of leadership and stewardship. It requires expanding one's parameters of self-interest so that they embrace former adversaries.

A fruitless ideology? Not so!

Anwar Sadat has just given us an example of the kind of leadership that leads to such solutions. It takes personal risk—personal commitment, and above all concern for something larger than oneself.

How does that work at the micro level? Some exciting and promising things are going on in American business and in government institutions today to establish trust between workers and managers. The purpose is not, as it was a few years ago, to improve productivity. It is primarily to improve the quality of working life for people—to recognize human values of growth and development—before the free enterprise system is destroyed by alienated workers.

Last month the Chief Executives of four multi-billion dollar companies met together near Washington to compare notes on their efforts to make the workplace more human.

Said Jackson Grayson at that meeting: "If we don't make some strong efforts to work on improving the human and economic dynamism of our society, we stand in danger of losing the characteristics of the system in a dangerously short period of time--short meaning ten to twenty years."

Others may quarrel with the time frame—but most agree it is short.

There is a growing concern about what to do about it. That is to restore human values to their place as the core of our society. To nurture and care for the earth and its people as well and to expand our power and rationality.

To manage our world requires both masculine forces of power and rationality and the feminism of nurturing and caring. They exist in both males and females but have not been cultivated in both. The yin and the yang—we have to bring them together in the governance of the society—or it will fail.

The evidence is all around us and poignantly described in two recent books which I commend to you: In Rosabeth Kanter's *Men and Women in the Corporation*, and in Michael Maccoby's *The Gamesman*.

Both books describe the shattering, destructive, dehumanizing pressures of competition and careerism—the drive to succeed in terms of power and money that undermine the basic values of individual worth and development.

Each, at its conclusion, wistfully suggests a better balance of male and female, head and heart, reason and compassion.

Maccoby

Overly concerned with adapting himself to others, to marketing himself, the careerist constantly betrays himself, since he must ignore idealistic, compassionate, and courageous impulses that might jeopardize his career. As a result, he never develops an inner center, a strong, independent sense of self, and eventually he loses touch with his deepest strivings. To stand up to others requires courage and to know what you want implies the sense of volition of a strong heart.

Rosabeth Kanter

"There was a time," she says, "when social scientists seemed to assume that sex played no role in the functioning of modern organizations." Indeed, the 'passionless organization', the neuter bureaucracy, was the very ideal model theorists and planners tried to promote, often excluding women in the process. But we now know differently—that sex and its behavioral consequences may play an important role in determining who does what and who gets ahead in organizations. Our recent knowledge can serve as an impetus for change, for extending equal opportunities to both women and men, and for changing the structural factors that tend to give women a limited place in organizations. In the process we can work to reintegrate the socially imposed polarizations that give power and rationality to men and nurturance and human caring to women, but can, instead, allow all people to learn both leadership and support. If organizations of the future help make this possible, then neither women nor men will need to waste half of their human capacities.

Women in public management have a special responsibility and a special opportunity to provide that needed balance. And they are beginning to do that.

It is very difficult to do it alone. As a solo woman in an all male group, I found it extremely difficult to master and use the power that it takes to reject—to refuse to deal with the essentially destructive elements in male dominated organizations. Competition, narrow interests, self-denial. But a few of us together can and are making a difference. Our exercise of power has a different quality which I find many men eager to respond to. They too are hungry for liberation.

What seems to me to be happening is a convergence—women gaining a greater power and rationality—and men experiencing and exercising compassion.

With a little practice we are both—men and women—soon going to be humans.

So my message to women in public management (as well as the private sector) is to remember how important it is to be a woman. Don't get misled into imitating the old male model of management and use of power. The world can't afford it. It needs us, for without us we will collectively not survive! ◼

CBA 4

Unit (c)

"MBO Comes to New York City Government"

personnel digest

ALPHONSE E. D'AMBROSE
CITY PERSONNEL DIRECTOR

VOLUME 1, NO. 2
MARCH - APRIL 1976

*"A PUBLICATION OF THE QUALITY CONTROL,
PLANNING, & RESEARCH DIVISION OF THE
NEW YORK CITY DEPARTMENT OF PERSONNEL..."*

Personnel Digest is published bi-monthly to keep examiners in the City Department of Personnel informed on current issues and developments in personnel with special emphasis on testing and personnel selection procedures.

IN THIS ISSUE

We describe the City's new **MANAGEMENT BY OBJECTIVES** program and explain how the Department of Personnel is helping the Fire Department and the Highways Department get the program started.

We introduce the Bureau of Examinations' new **ITEM ANALYSIS PROGRAM**, which will produce faster and more useful information to evaluate and improve multiple-choice tests and test items.

We give a progress report on the **WREP RESEARCH PROJECT**, which compares test results with job performance appraisals of persons who passed and persons who failed the test.

We offer various news items of interest.

NEWS NOTES

The Department of Personnel has set up a task force to study implementation of revisions in the City Charter as adopted by the voters in the November 1975 election. The task force is developing appropriate plans in advance of the effective date of the Charter revision, January 1, 1977.

Several Units of the Department have responded to our requests for information about publications they get which may be helpful to other units. We'll publish the full list shortly. Almira Tannenbaum of the Position Audit Division suggested that the information be obtained to help utilize Department resources better.

Our next issue will include, among other features, an article by Morris Shiechel on the Employees' Suggestion Program. We again invite staff members to contribute to **PERSONNEL DIGEST** articles either of Bureau or Division activities or of individual interests in the personnel area.

MANAGEMENT BY OBJECTIVES COMES TO NEW YORK CITY GOVERNMENT

"IN A MANNER OF SPEAKING, THE OBJECTIVE TELLS YOU WHERE YOU ARE GOING, THE ACTION PLAN TELLS YOU HOW YOU ARE GOING TO GET THERE, AND THE PERFORMANCE STANDARDS TELL YOU WHEN YOU HAVE ARRIVED."

Late in 1975, the Mayor's Management Advisory Board (Shinn Committee) recommended that the New York City Government adopt Management by Objectives (MBO). The two pilot agencies installing this system are the Fire and Highways Departments; the City Personnel Department will help in the personnel aspects of implementation.

Long in use in the private sector, MBO has provided many benefits to some organizations using this approach. It has not always met with consistent or unqualified success; nevertheless, the system has proven extremely useful in clarifying goals, plans and objectives and in improving managerial accountability. In a time of fiscal crisis the City, by adopting MBO, hopes to improve its managerial effectiveness.

WHAT IS MANAGEMENT BY OBJECTIVES?

Management By Objectives basically involves identifying attainable objectives, determining the means required, allocating the resources needed, and evaluating performance in achieving these objectives. The manager responsible for achieving results proposes the objectives - in specific, quantified terms with scheduled achievement dates. These objectives become final as the result of negotiations between the manager and his superior. The negotiating process starts with the agency head and his subordinates and filters down through each management level.

What is new about setting objectives? All organizations believe they now do it routinely, but in fact few do so in a systematic precise way. Under MBO, objectives at each level relate to the organization's overall goals and to each other in a coherent manner. In this way, the system attempts to ensure that all of the organization's activities contribute to the organization's purposes.

The action plan, the resources plan (allocation of the resources a manager needs to reach his objectives), and performance standards (by which achievement of objectives will be evaluated) are all negotiated. In a manner of speaking, the objective tells you where you are going, the action plan tells you how you are going to get there, and the performance standards tell you when you have arrived.

SPECIAL MBO TASK FORCE

A special MBO Task Force, consisting of City officials and executives from the private sector, directs and monitors the implementation of MBO. Headed by Economic Development Administrator Alfred Eisenpreis, the Task Force has as members the Fire and Highways Commissioners, City Personnel Director Alphonse E. D'Ambrose, Deputy Budget Director Robert Bott, and the President of the American Management Associations (AMA).

The AMA has arranged for initial orientation of City officials. First Deputy Mayor John E. Zuccotti has been actively involved in the formulation of the City's plans for MBO.

FIRE, HIGHWAYS IN PILOT PROJECT

In its initial stages, MBO will be implemented on a pilot basis in the Fire and Highways Departments. At the same time that the City will demand higher performance accountability from the agency heads, it will give them more flexibility in spending funds and in dealing with personnel. The results of the pilot approach will determine how the system can be applied throughout City government. The tentative schedule: expansion to several additional agencies this year and eventually to all other City agencies.

To provide needed administrative flexibility, a memorandum of understanding was reached by the Fire and Highways Commissioners, the Department of Personnel, and the Office of Management and Budget. Commissioners will now have considerable latitude in budget and personnel matters, including automatic approval of many types of budget modifications and a quarterly blanket budget certificate to fill any position within the personnel totals in each agency's Resources Plan.

OUR ROLE: TO HELP

The Department of Personnel will play a significant role in facilitating the implementation of MBO.

BROADBANDING AND CONSOLIDATION

The Classification Division, now reviewing the present classification of titles in the Fire and Highways Departments, will eventually review all City titles. The end results: fewer titles, fewer levels, broader scope of assignments, freer movement between one assignment and another, advancement on the basis of performance and demonstrated abilities. Both broadbanding (merging duties and responsibilities of related titles) and consolidation (reducing the number of levels in an occupational group) will enable top management of operating agencies to have greater flexibility in the assignment of tasks.

POSITION EVALUATION

The two departments can now evaluate all positions to existing titles (and can make managerial assignments) subject only to post-audit review by the Department of Personnel. Each agency has designated a position evaluation officer. Our Position Audit Division will supply standards and give orientation, training and guidance to the position evaluation officers.

MANAGERIAL PERFORMANCE EVALUATION

Our Research Division is helping the two MBO agencies to develop a performance evaluation system for managerial personnel. This system will be used as a basis for rewarding performance, identifying managerial training needs, and assigning managers to appropriate positions. We are working out guidelines with the Fire and Highways Departments, and will later use their experience to help guide future participating agencies.

The developing system eventually will be applied on a City-wide basis. Unlike the City's past appraisal systems, the new system will be tailored to operate in an MBO environment and will focus on results rather than traits.

We have been exploring an especially knotty problem: how to develop the managerial, as opposed to the technical, standards of a manager's job. (By way of illustration, in our Department "technical responsibilities" might include producing examinations which meet certain criteria of quality and quantity and which meet schedules. "Managerial responsibilities" might include developing skills of personnel examiners and providing effective cooperation between examining units.)

PERSONNEL RECORD SYSTEM

MBO requires quick identification of an employee with the skills needed for a particular assignment. As the classification of titles becomes broader, the need for a better match between employees and their assignments will grow acute. We have met with both MBO agencies to help develop a personnel record system -- eventually to go City-wide -- to provide a computerized inventory of employees' skills (as well as to establish a common basis for timekeeping).

EMERGING NEEDS

As other needs emerge, the Department of Personnel will provide a wide range of consulting services. We expect to play a key role in helping the affected agencies to strengthen their capacity to run their own personnel programs. We are currently investigating Management Assessment Centers as an additional tool to enable agencies to assess management potential, identify training needs, and make appropriate managerial assignments.*

The implementation of MBO in City agencies - considering especially the structural changes involved - will have a substantial impact on the operations of the Department of Personnel.

Examinations will have to be geared toward the new broadbanded and consolidated titles. This will raise new issues in the development of appropriate and job related selection instruments, and will complicate the task of job analysis.

The Department may be called upon to help design training programs to accommodate the wider range of duties to be associated with each title in the future.

As titles become broader and less descriptive of tasks being performed, placement will become a very critical factor. The Department of Personnel may have to aid the operating agencies to identify skills associated with successful performance in particular positions and to identify appropriate individuals to fill them.

Our Department will also have to develop new techniques to select the type of manager required by MBO.

The City expects to benefit from MBO, so should the individual manager. Each manager from now on will have more input into the nature of his job, a clearer idea of what is expected of him, greater feedback about his performance, the ability to evaluate his own performance against previously established standards, and, in many cases, the satisfaction of achievement.

STEPHEN ROSENBERG

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*An article on Management Assessment Centers by Douglas Waldmann will appear in the next issue.

CBA 4

Unit (c)

"Analysis of Changes in New York City's Personnel System Resulting From Charter Revision"; "Case Study: How the Personnel Function Supports the Attainment of Agency Goals in New York City's Fire Department*"; "Supplement to Case Study: ..."; and Attachments, "The Development of a Task Oriented Approach to Performance Evaluation in the City of New York"; Broadbanding and Consolidation"; "New York City Charter, Chapter 35, Department of Personnel, Appendix I"; "Personnel Policy and Procedure No. 511-78".

Developed by the Theory/Practice Curriculum Project
Institute of Public Administration
Division of Social Science
Medgar Evers College

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ANALYSIS OF CHANGES IN NEW YORK CITY'S PERSONNEL SYSTEM RESULTING FROM CHARTER REVISION

I. New York City's Central Personnel System Before Charter Revision

Under the old system, the City Personnel Director wore two hats: he served as both chief executive of the City's central personnel agency and as chairman of the City's Civil Service Commission. In practice, the Civil Service Commission was part of and subservient to the Personnel Department. The operating divsions of the Personnel Department would report directly to the Chairman of the Civil Service Commision (City Personnel Director). He was totally reponsible for administration of the City's personnel sysyem. The other two commissioners, who served on a part-time basis, would only pass on appeals and rules. Since the City Personnel Director was Chairman of the Commission and since the other two commissioners were outside the mainstream of personnel administration, the City Personnel Director could usually influence the other two commissioners. The Commission, therefore, could hardly be characterized as "independent."

The City Personnel Department was functionally organized into specialized divisions such as examinations or classification. Each division was staffed by specialists who would perform a particular service for all City agencies. Thus, the classification division would perform classification services for all City agencies. A City agency needing (1) the preparation of a new examination, (2) the classification of a new position, and (3) the certification of an eligible list would have to contact three separate individuals in the City Personnel Department.

The City Personnel Department performed most personnel activities for the agencies. This included examinations, classification, certification of eligible lists, recruitment, training, etc. Most personnel actions in the operating agencies (such as filling a position) had to be approved in advance by the central Department of Personnel. The agencies, which had small personnel staffs or no personnel staffs, were almost entirely dependent upon the central Department of Personnel for the provision of a wide range of services. Some agencies had personnel offices , but these tended to be quite small and were composed of generalists who lacked the specialized expertise found in central Personnel. A very common situation in the agencies was the assignment of personnel duties on a part-time basis to a person who had many other duties.

II. New York City's Central Personnel System After Charter Revsion

In the new system, the Civil Service Commission was separated from the Personnel Department and made an independent entity. The City Personnel Director now serves only as a personnel executive, i.e., the chief executive of the City's central personnel agency. He is vested with responsibility for policy-making, the formulation of rules, and the executive direction of the Personnel Department. Appellate responsibility is vested in the independent Civil Service Commission which may review the actions of the City Personnel Director on appeal (It has direct appellate responsibility in regard to disciplinary actions).

The City Personnel Department is now organized into six major task forces (with a seventh for internal control and coordination). Each task force handles all personnel services for a particular group of related agencies. Thus, the Criminal Justice Task Force handles examination, classification, recruitment, and training services for the Police Department. A personnel officer in the Police Department now needs to contact only one individual (the liaison officer for that agency) in the central Personnel Department to obtain a wide variety of services (in the past, it would have been necessary to contact a different individual for each service desired).

Under the revised Charter, each agency will now be responsible for the performance of most of its own personnel activities. Many agencies will do their own recruitment, non-written promotion tests, certification of lists, investigation of the qualifications of candidates, training allocation of positions (classification), granting of salary increases and incentives, etc.

The Department of Personnel will no longer approve most personnel actions in advance; it will merely examine agency personnel actions on a post-audit basis. The decentralization of the personnel function to the operating agencies has necessitated a substantial expansion in the size of agency personnel offices. In some cases, agencies have had to create a personnel office from scratch. They have also had to develop the kind of specialized expertise that had formerly been found only in the central Department of Personnel In response to this need, some professional and technical staff have already been transferred from the central Personnel Department to the operating agencies. In addition, the central Personnel Department has been conducting specail training programs to assist operating agencies to assume their new responsibilities.

Although some functions will remain with the central Department of Personnel (such as written examinations), the basic role of the central personnel agency has changed. It will no longer be responsible for the direct provision of many of the services that it had performed in the past. It will now provide consulting services to operating agencies, i.e., assist them to carry out their own personnel programs. It will also set standards for and post-audit all of the decentralized personnel activities to ensure compliance with laws, rules and regulations. Thus, the basic purpose of the central personnel agency has shifted from control to service.

III. Reasons for the Charter Changes

1. Decentralization of the Personnel Function:

The major reason why the Charter Revision Commission recommended the decentralization of the personnel function to the operating agencies was that the old system had resulted in a divorce between general line management and personnel management. City agencies that deliver municipal services had very limited responsibility for the administration of personnel functions. many important personnel activities such as recruitment, selection and promotion were not handled by the operating agencies. According to the old philosophy, City agencies that had responsibility for the delivery of millions of dolloars in services could not be trusted to manage their own work forces in the public interest.

The Charter Revision Commission found that this separation of personnel management from general line management was not in the City's best interest. It did not improve the quality of performance of the work force. It did not lead to appointments and promotions of the best qualified people on the basis of merit and fitness. It did not prevent political hirings or widespread circumvention of civil service requirements. It did not give managers and supervisors the tools they need to exercise authority, to reward outstanding performance, or to discipline for poor performance.

The old system did lead to a sitaution in which agency heads and line management, who were responsible for the delivery of services and the attainment of agency goals, had little if anything to say about the hiring, utilization, promotion, and motivation of the staff that would enable them to reach their goals. The Department of Personnel, in its role as an overhead agency, frequently functioned as a bottleneck or obstacle which prevented agencies from taking necessary personnel actions. Considering the prior approvals needed from central Personnel and from Budget, it sometimes took an operating agency nine months to hire someone.

The changes mandated by the revised Charter will give the operating agencies the authority in the personnel area that they need in order to fulfill their responsibilities.

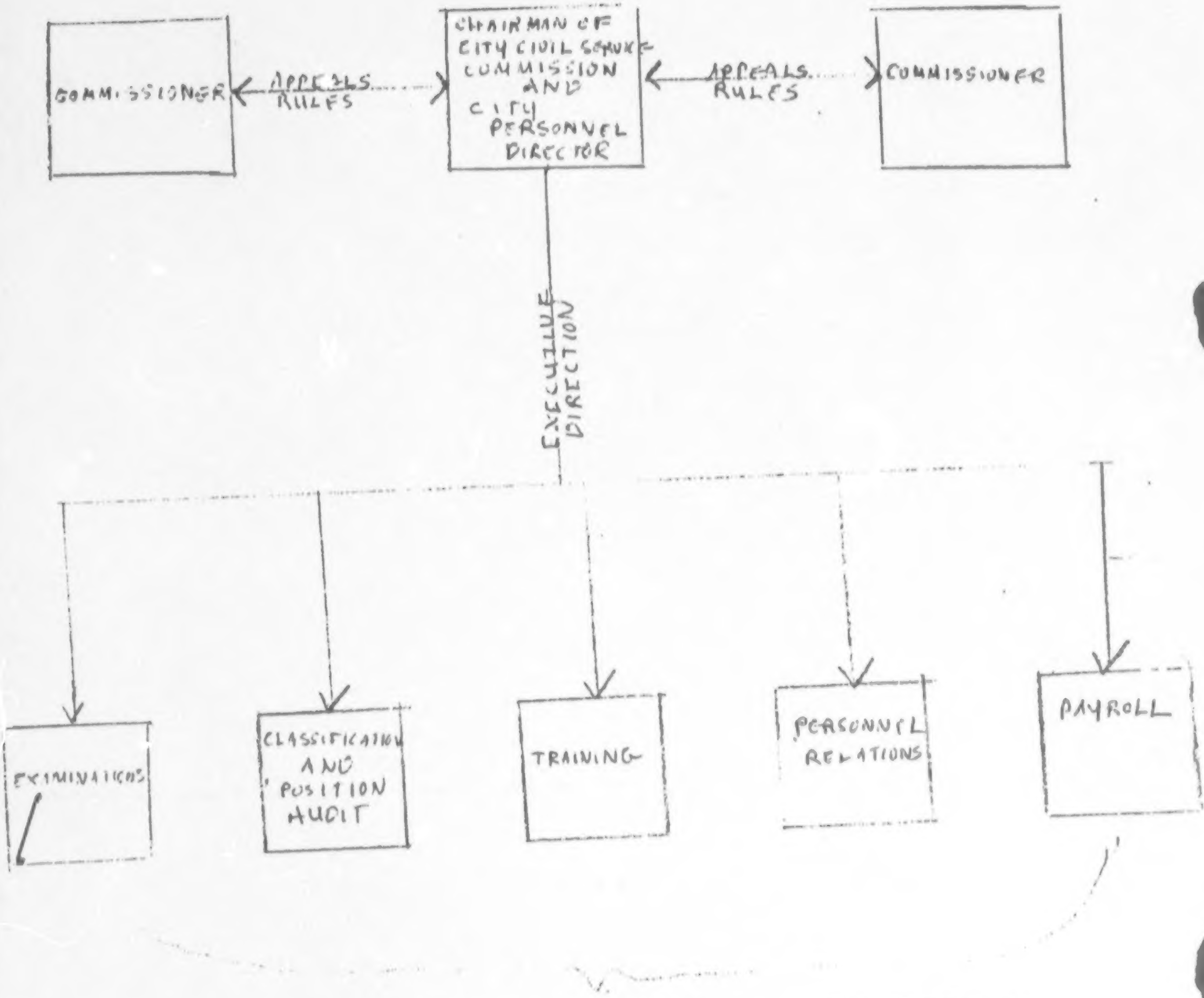
2.The Separation of the Civil Service Commission

The old form of the Civil Service Commission, composed of the City Personnel Director and two other appointees, was intended to serve as the guardian of the merit system and as the overseer of the City's persoonel system to ensure that it worked in the public interest. Its responsibilities included promulgation and enforcement of civil service rules and regulations, examination policy, and jurisdictional classification. It also heard and determined appeals from employees aggrieved by actions or decisions of the Personnel Department or agency disciplinary actions.

In practice, the Civil Service Commission had not fulfilled its purpose as protector of the public interest in personnel matters. Its affirmative contributions to improve personnel management were meager. Since the other two appointees could be dominated by the City Personnel Director, the Commission merely served to confirm or rubber-stamp the decisions of the Personnel Director. Thus, the Commission served as only one more step in an already complex bureaucratic process. Because of the domination of the Personnel Director, even the Commission's determinations on appeals were suspect.

The Charter Revision Commission felt that responsibility for rules and regulations, examination policy, and jurisdictional classification properly belonged with the personnel executive (since these matters are an integral part of personnel management and since the other commissioners lacked expertise in these matters and would follow the lead of the Personnel Director in any case). At the same time, the creation of an independent Civil Service Commission (entirely separate from the Personnel Department) gave a face validity to the appeals process that had not existed before. The Commission is now in a position to review the actions of the City Personnel Director. This would not have been possible under the old system since the Personnel Director served as Chairman of the Commission.

NEW YORK CITY'S CENTRAL PERSONNEL SYSTEM BEFORE CHARTER REVISION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CHAIRMAN OF CITY CIVIL SERVICE COMMISSION AND CITY PERSONNEL DIRECTOR
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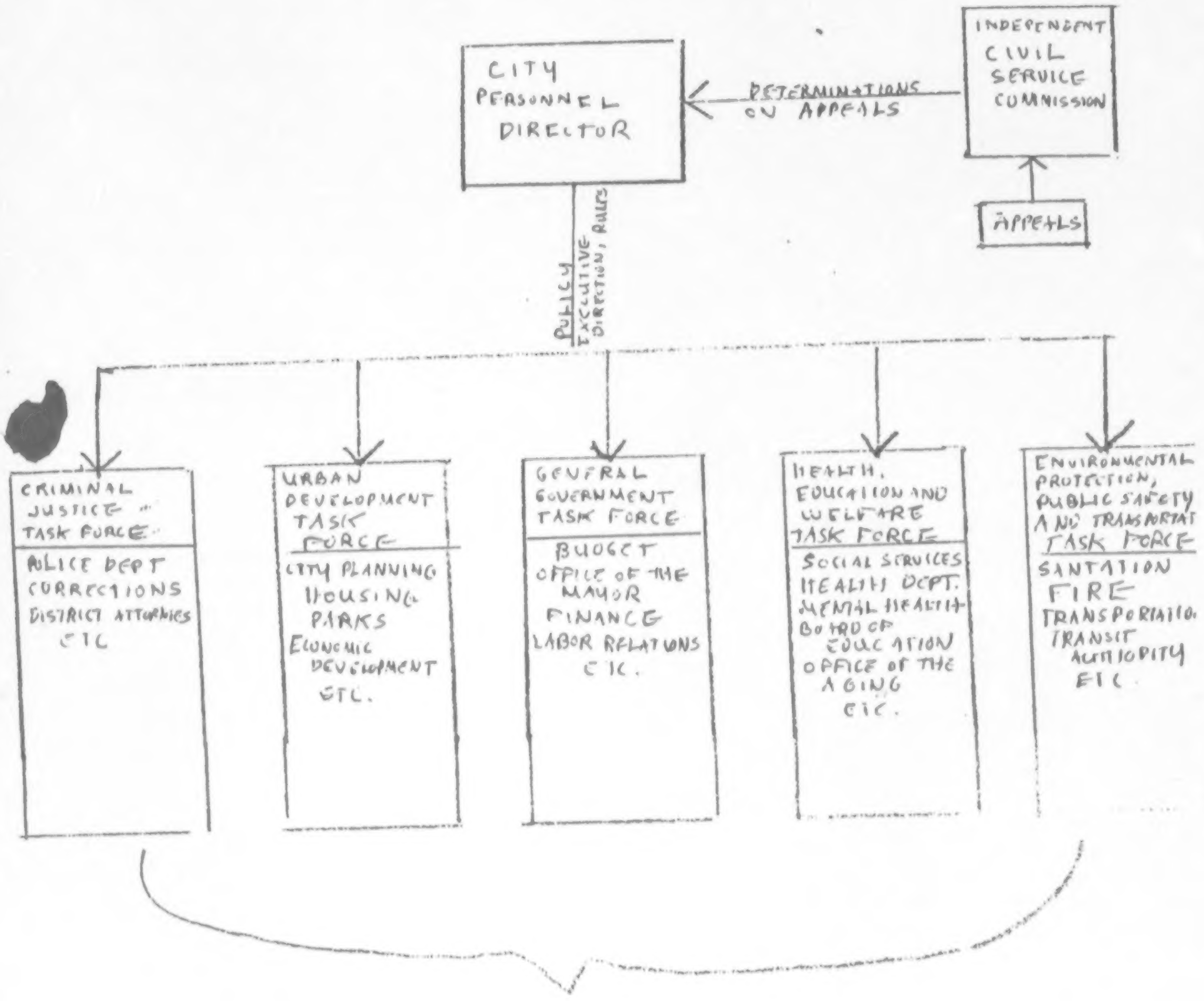
EXAMINATIONS
CLASSIFICATION AND POSITION AUDIT
TRAINING
PERSONNEL RELATIONS
PAYROLL

OPERATING DIVISIONS OF CITY PERSONEL DEPARTMENT (FUNCTIONALLY ORGANIZED)

NEW YORK CITY'S CENTRAL PERSONNEL SYSTEM AFTER CHARTER REVISION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DETERMINATIONS ON APPEALS
INDEPENDENT CIVIL SERVICE COMMISSION
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CITY PLANNING
HOUSING
PARKS
ECONOMIC DEVELOPMENT
ETC.
GENERAL GOVERNMENT TASK FORCE
BUDGET
OFFICE OF THE MAYOR
FINANCE
LABOR RELATIONS
ETC.
HEALTH, EDUCATION AND WELFARE TASK FORCE
SOCIAL SERVICES
HEALTH DEPT.
MENTAL HEALTH
BOARD OF EDUCATION
OFFICE OF THE AGING
ETC.
ENVIRONMENTAL PROTECTION, PUBLIC SAFETY AND TRANSPORTAT
TASK FORCE
SANTATION
FIRE
TRANSPORTATIO
TRANSIT AUTHORITY
ETC

OPERATING DIVISIONS OF CITY PERSONNEL DEPARTMENT (ORGANIZED ON BASIS OF TYPE OF AGENCY SERVICED)

CASE STUDY: HOW THE PERSONNEL FUNCTION SUPPORTS THE ATTAINMENT OF AGENCY GOALS IN NEW YORK CITY'S FIRE DEPARTMENT*

Presented below are a series of management and operational problems which interfere with the attainment of the agency's primary mission; i.e., "the protection and safeguarding of lives and property in the most effective manner possible." For each problem, a solution involving personnel activities is presented.

1. Problem: Excessive use of sick leave among Fire Companies in the Bronx has interfered with adequate manning of these units and has raised overtime costs.

Personnel Solution: The Personnel Division institutes a training program in which Company Commanders in the Bronx are coached in absence control and in counselling employees who use sick leave excessively. Company Commanders are also encouraged to enforce disciplinary rules in cases where counselling does not result in a reduction of sick leave use.

2. Problem: The Fire Commissioner is having great difficulty in locating staff within the Department who possess special skills necessary for carrying out special projects such as

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*In this case study, The Fire Department is used only as a hypothetical example. The problems and proposed solutions are not necessarily actual ones.

the installation and testing of a new communications system. The Commissioner knows that staff with the required skills must exist somewhere within the Department, but he has no way of loacting them. The Commissioner finds it necessary to go outside of the Department to obtain people with the needed skills, snd the Department is therefore subjected to delays and additional expense in carrying out its special projects.

Personnel Solution: The Personnel Division develops a computer-based employee skills inventory system. All employees in the Department are surveyed as to the skills that they possess. This information is coded and placed on computer tapes. The names and locations of employees possessing a particular skill are then available to the Commissioner at the touch of a button. Most special projects can now be accomplished by staff existing within the Department.

3.Problem: A certain proportion of Firefighters who lack supervisory ability are being advanced to supervisory rank as a result of written promotion tests administered by the City Department of Personnel. Some of these supervisors do not deploy their men and equipment effectively at the scene of fires. Poor deployment increases the time required to put out fires as well as loss of life and property.

Personnel Solution: Under the new authority granted by the revised Charter, the Personnel Division decides to prepare a new promotion test. They undertake a job analysis and correctly identify the characteristics and skills needed for supervisory rank. The job analysis leads to the conclusion that the needed skills can only be tested by means of oral exercizes rather than by written tests. The Personnel Division then develops and administers a promotion test composed of oral exercizes. Experienced Fire Officers, familiar with the job, assist in the administration of the test. The new test test results in the selection of only those Firefighters who possess the needed supervisory skills. The unqualified supervisors, who had been promoted as a result of the old written test, are transferred to less critical office jobs.

4. Problem: A certain number of Firefighters have become slow in responding to alarms and have begun to handle their equipment in a sloppy fashion. The supervisors of these Firefighters state that their sloppy performance is due to the absence of incentives for good performance. They point to the fact that no distinction is made between the most effective performers and the least effective performers in terms of pay. The slow response to alarms has resulted

in increased damage from fires, and the sloppy handling of equipment has increased the accident rate among Firefighters. (22 77)

Personnel Solution: Under the new authority granted by the revised Charter which allows agencies to grant salary increases within their overall budget without prior approval from the Department of Personnel, the Personnel Division institutes a new incentives program. Those Firefighters who receive superior pergormance ratings under this program are given salary increases in recognition of their superior performance. The fact that superior performers received salary increases acts as a spur to other Firefighters to improve their performance (in the hope that they too will eventually receive salary increases).

5. Problem: A certain minority which accounts for a large proportion of the community that the Firefighters serve is vastly under-represented among the ranks of the Firefighters. This lack of minority representation has placed the Department in violation of equal employment opportunity requirements and has made it very diificult for the Department to "sell" its Fire Prevention Education Program to the minority community. The lack of relationships with the minority community has led to an increase in the number of Fire Code violations.

Personnel Solution: In line with the revised Charter under which operating agencies are given a major role in recruitment, the Personnel Division initiates a minority recruitment campaign for an upcoming Firefighter's examination. Local Firehouses in minority areas are used as recruitment centers and members of the minority community are involved in the campaign. Community organizations and schools are contacted. Special examination preparation in the form of training classes is made available to those candidates desiring it. As a result of the recruitment campaign and the special examination preparation, more minority group candidates take and pass the Firefighter's test. Minority representation is improved and the Department's relationship with the community is strengthened.

6. Problem: The Fire Commissioner wants to create a new electronic data processing division to assist the Department in handling fire alarm dispatches and to keep track of the record on such dispatches. He knows that he must create the new division from his existing budget, but he does not know where there are vacant lines and he does not know which job titles to use to staff the new division.

Personnel Solution: The Personnel Division studies the staffing situation in the Fire Department and finds several unused and unneeded vacancies in motor vehicle repair. The Personnel Division recommends that the funds originally set aside for the motor vehicle repair vacancies be used instead to fill lines in the new EDP Division. The personnel specialists then study the duties of the new positions and find that these duties can be fulfilled by people in the titles of Computer Operator and Computer Programmer. Under the new authority granted by the revised Charter, the Fire Department allocates the new positions to the titles of Computer Operator and Computer Programmer (without any prior authorization from the central Department of Personnel). The Personnel Division then requests certifications for these two titles and fills a total of seven positions. These positions are filled within the Department's quarterly spending allotment and no prior authorization is needed from the central Department of Personnel. The new EDP Divsion is operational within 6 weeks from the time that the Personnel Division undertook the study.

7. Problem: The Fire Commissioner wants to initiate a new Mnagement by Objectives program in which Borough Commanders are held accountable for improvement objectives in areas such as reduction in fire alarm response time, a decrease in overtime associated with shift changes, reduction in the number of accidents, etc. Unfortunately, the Borough Commanders are not very familair with the MBO approach. They have difficulty in formulating meaningful objectives, don't know what kinds of records to keep, have resisted moving the program

downward to their subordinates, and are generally apprehensive as to how the program will affect them. As a result of resistance from the Borough Commanders, the MBO program bogs down.

Personnel Solution: The Personnel Division sets up several training seminars for the Borough Commanders and their subordinates. The goals and nature of the MBO program is explained, and the questions of the Borough Commanders are answered. Participants receive parctice in the actual formulation of objectives, and are given guidance in recordkeeping. The benefits and advantages of the MBO program in terms of more effective management and potential rewards are explained. The Personnel Division fol,ows up on these seminars by sending experts out to the field to work with the Borough Commanders in formulating action plans and steps needed to attain objectives and in setting up recordkeeping systems. The Borough Commanders' resistence to the program begins to fade, and they begin to filter the program down to their subordinates.

Conclusion: The preceding series of problems and solutions highlight the fact that every agency problem or goal has its personnel aspects. This conclusion follws from the fact that the work of an agency, i.e., the delivery of services, is accomplished by and through the people who make up the agency.

The proper recruitment, selection, advancement, motivation, classification, and development of agency staff will, in the end, be a primary determinant of the effectiveness of any agency.

SUPPLEMENT TO CASE STUDY: ANALYSIS OF EFFECT OF CHARTER REVISION ON THE RELATIONSHIP BETWEEN THE PERSONNEL FUNCTION AND THE ATTAINMENT OF LINE MANAGEMENT GOALS

PROBLEM NO. 1

Prior to Charter revision, an agency which had identified or perceived a particular training need might have come to the Department of Personnel to obtain such services. Under the revised Charter, the agency is given *explicit responsibility* for the assessment of its training needs and the conduct of in-house training programs to improve the skills, performance and career opportunities of its employees. Consequently, the agency's personnel function is expected to be much more directly supportive of the attainment of line management goals.

PROBLEM NO. 2

Because of the decentralization of a wide range of personnel activities to the agencies, the revised Charter mandates that agencies develop more comprehensive and definitive record systems to support their new responsibilities in hiring, certification of lists, allocation of positions, recruitment, etc. The new personnel reocrd systems, such as the employee skills inventory, will enable the agency personnel office to play a more significant role in helping the agency to meet its staffing needs.

PROBLEM NO. 3

Prior to the revised Charter, the development and conduct of all examinations was the responsibility of the Department of Personnel. Under the revised Charter, operating agencies will have the power to prepare, schedule and conduct non-written promotion examinations (oral and practical examinations). The participation of agency staff in the development and conduct of these examinations will ensure that selection procedures are more job-related, and more responsive to agency needs (more likely to result in the selection of the kind of staff the agency needs to carry out its programs).

PROBLEM NO. 4

Prior to the revision of the Charter, it was not possible for line agencies to operate their own incentive programs. Each merit salary increase recommended by the agency had to be approved by the Office of Management and Budget and the Department of Personnel. Under the revised Charter, agencies can grant salary increases within their overall budgets without prior approval from the overhead staff agencies. The Charter, in fact, gives agencies the responsibility for planning and administering their own employee incentive and recognition programs. Agency administration of such programs will probably insure that incentives and rewards are used more effectively to motivate employees and reward performance. Incentive programs are more likely to be geared to particular agency needs in terms of what kinds of performances are rewarded.)

PROBLEM NO. 5

Prior to Charter revision, recruitment was largely a responsibility of the Department of Personnel. Under the revised Charter, agencies are given a major role to play in the recruitment of staff-Agency staff is more likely to be knowledgeable about desirable backgrounds and relevant labor markets. Recruitment campaigns are therefore more likely to be responsive to agency needs. The assumption of this responsibility by the agency will strengthen the ability of the agency's personnel office to contribute to and support the attainment of the agency's goals.

PROBLEM NO. 6

Prior to Charter revision, an agency could not assign (allocate) new positions to particular job titles or fill vacancies without prior authorization from the overhead staff agencies (Department of Personnel and Office of Management and Budget). Under the revised Charter, agencies are given the authority to study the duties of new positions, assign appropriate job titles to them, and to fill the vacancies within their quarterly spending allotment. This new authority gives agencies increased flexibility and greater speed of operation in filling vacancies. The agency's personnel division can now fill key or critical vacancies within a matter of days or weeks as compared to the old system where the hiring process could take months. The Personnel Office is thus able to play a more significant role in helping to meet the agency's staffing needs.

PROBLEM NO. 7

Under the revised Charter, the major responsibility for the assessment of training needs and the conduct of training programs is decentralized to the agency. The agency's personnel office is thus able to play a more active and positive role in helping line management to attain its goals.

The Development of a Task-Oriented Approach to Performance Evaluation in the City of New York—

PETER ALLAN
STEPHEN ROSENBERG

INTRODUCTION

In November 1975, the New York City voters approved major revisions within the city charter which had been proposed by the State Charter Revision Commission for New York City. These revisions called for sweeping changes in the city's personnel system. Among the responsibilities which the revised charter placed upon city agencies was the requirement to "administer performance evaluation programs to be used during the probationary period and for promotions, assignments, incentives, and training."[1]

For most city agencies, which collectively employ over 200,000 employees, this mandate represented an entirely new area of responsibility. A previously existing city-wide performance evaluation system had been abandoned by 1971 because of widespread dissatisfaction with its effectiveness. The old system had focused on personality traits and general performance dimensions and was not sufficiently related or tailored to the specific jobs of the evaluated employees. It was also criticized for the subjectivity of the ratings and a tendency of raters for leniency. The subjectivity inherent in the rating process (the absence of objective criteria upon which to base ratings) frequently led to resentment on the part of employees being evaluated. Since appraisal interviews sometimes generated disagreement or conflict between supervisors and subordinates, raters were reluctant to assign ratings of less than satisfactory. The system was abandoned with a sigh of relief by everyone concerned.

Because of the shortcomings of the old system, and because many City agencies lacked the resources to develop their own systems, the New York City Department of Personnel decided to take the lead in developing a new model performance evaluation system which would fulfill the purposes intended by the revised charter and could be easily adapted and installed.

DEVELOPMENT OF THE NEW SYSTEM

Accordingly, in January 1977, the City Personnel Director, Thomas F. Roche, asked the Research and Analysis unit of the Department of Personnel to develop a model performance evaluation system. The staff of the Research and Analysis

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* *The authors wish to express their appreciation to Nathan Silver, Chief of the City-Wide Employee Relations and Standards Unit of the New York City Department of Personnel, for his helpful comments and suggestions on a preliminary draft of this article.*

III. BROADBANDING AND CONSOLIDATION

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Single Agency Proposals

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City-Wide Proposals

. Clerical-Administrative and Related
. Staff Management
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APPENDIX I

NEW YORK CITY CHARTER
CHAPTER 35
DEPARTMENT OF PERSONNEL

NEW YORK CITY

DEPARTMENT OF PERSONNEL

THOMAS F. ROCHE
CITY PERSONNEL DIRECTOR

CHAPTER 35
Department of Personnel

Section
810. Declaration of intent
811. Department; personnel director
812. City civil service commission
813. Personnel director; powers and duties
814. Agency heads; powers and duties
815. Management service
816. Appointments and promotions
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818. No compensation to unauthorized employee
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820. Certifications for new positions
821. Political activities forbidden
822. Condition precedent to employment

§ 810. Declaration of intent. a. The personnel policies and practices of the city government in furtherance of this charter, the civil service law and rules and other applicable law shall preserve and promote merit and fitness in city employment; ensure that appointments and promotions in city service are made without regard to sex, race, religion or political affiliation and promote and support the efficient and effective delivery of services to the public.

b. Consistent with subsection a of this section, the heads of city agencies shall have such powers, duties and responsibilities for personnel management as they shall require to administer their agencies effectively and to supervise, evaluate, motivate, discipline, provide incentives for and improve the skills of employees of the city. *(Adopted by vote of the electors, Nov. 4, 1975)*

§ 811. Department; personnel director. There shall be a department of personnel, the head of which shall be the personnel director. The personnel director shall have all the powers and duties of a municipal civil service commission provided in the civil service law or in any other statute or local law other than such powers and duties as are by this chapter assigned to the mayor, the city civil service commission or the heads of city agencies. *(Amended by vote of the electors, Nov. 4, 1975)*

§ 812. City civil service commission. a. There shall be a city civil service commission, consisting of five members, not more than three of whom shall be members of the same political party. Members shall be appointed by the mayor for overlapping terms of six years. Of the members first appointed, two shall serve for two years and two for four years

The City of New York
DEPARTMENT OF PERSONNEL
220 CHURCH STREET, NEW YORK, N. Y. 10013

THOMAS F. ROCHE
City Personnel Director

PERSONNEL POLICY and PROCEDURE NO. 511-78

SUBJECT. Implementation of Clerical Broadbanding

The purpose of this Personnel Policy and Procedure is to clarify some of the actions involved in changing from the old clerical-administrative and related titles to new broadbanded titles. It will supplement Resolution Nos. 77-43, 77-44 and 77-45 and Personnel Order Nos. 78/13 and 78/14.

Generally, the old titles may be divided into two categories, those which will be converted directly to the new broadbanded titles without any action necessary and those that will remain for present incumbents only, in which employees will be required to take reclassification examinations to the new broadbanded titles.

I.. Titles Which Convert Directly to the New Broadbanded Titles

Employees in the old titles will be converted automatically to the new titles as indicated below. The Office of Management and Budget has modified each agency's budget. Agencies must audit the conversion. In addition, agencies must update personnel records for individuals to reflect the new titles.

Old Title	New Title
Senior Clerk	Office Aide Salary $7,000 - $11,450D Levels: I $7,000 - $ 9,375D II $7,425 - $11,150D III $8,350 - $11,450D
Senior Clerk (Income Maintenance)	
Senior Process Server	
Senior Telephone Operator	
Senior Typist	
Administrative Aide	Office Associate Salary: 1 Level - $9,600 - $13,050D
Information Clerk (Department of Probation)	
Senior Toll Collector (Markets)	
Shop Clerk	
Supervising Clerk	
Supervising Clerk (Income Maintenance)	
Supervising Telephone Operator	

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CBA 4
Unit (d)

COMMUNITY DEVELOPMENT BULLETIN

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- Finance—What Price Community Development?
- Puerto Rico—The Community Education Division Part I

June 1964 Vol. XV No. 3

The Community Education Division

Part I Training Field Workers

Do Dem Hed 44
Com. Dev.: Training: Puerto Rico

FRED WALE and CARMEN ISALES

Introduction

In the year 1940 there began in Puerto Rico what the well-known American photographer-writer, Homer Page, has called " The Quiet Revolution ". The record of what has happened during the last twenty-three years on this small island in the Caribbean Sea is now no longer new, certainly not to the readers of COMMUNITY DEVELOPMENT BULLETIN. These pages will attempt to tell, not the story of those two decades, but rather a brief account of one detail in the broad canvas of human events of those years.

In contrast with the first four decades of the twentieth century, the people of Puerto Rico, in their rural communities, their small towns and larger cities, became increasingly more and more involved in their own political, cultural and economic affairs as they travelled through the fifth decade, the years 1940–1950. Nevertheless, there were clear signs before the ten years were over that these experiences would have to reach even deeper levels of participation and analysis if the people's commitment to the democratic process was to become the foundation upon which to build the " good life ". With this in mind, the leadership, under the direction of the then newly elected governor, Luis Muñoz Marín, presented a community development bill to the island legislature in January of 1949. This bill passed the legislature unanimously and was then signed by the Governor on May 14 of that year. It created the Division of Community Education within Puerto Rico's Department of Education. The preamble to the law reads as follows:

> The goal of community education is to impart basic teaching on the nature of man, his history, his life, his way of working and of self-governing in the world and in Puerto Rico.
>
> Such teaching, addressed to the citizens meeting in rural and urban communities, will be imparted through motion pictures, radio, books, pamphlets, posters and group discussions.
>
> The object is to provide the good hand of our popular culture with the tool of a basic education.
>
> In practice this will mean giving to the community the wish, the tendency and the way of making use of its own aptitudes for the solution of many of its own problems of health, education, co-operation, social life through the action of the community itself.
>
> The community should not be civically unemployed.
>
> The community can be constantly and usefully employed in its own service, in terms of pride and satisfaction for the members thereof.

From the start we interpreted the law that created us to mean that we were given the opportunity to help the neighbours of the rural and urban communities of Puerto Rico in their analysis of what it means to think and behave democratically and to make this the foundation upon which to "reconstruct" their lives as individuals, as members of a family and as neighbours within their community. We believed that this was the way, the only way we knew, to establish and keep alive an equalitarian society.

Objectives

re-write!

We sat down in the early days of our coming together and wrote the following objectives. Since then we may have changed the words or the expressions but never the meaning.

(1) To help the families of a community to have faith in themselves and in their neighbours and to discover with them the ways to express this faith.

(2) To help the neighbours understand that it is their right and responsibility to know and to participate in all matters affecting their communal welfare and that knowing this they can find the way to create a dynamic community supported by their own efforts and contributions.

(3) To help the neighbours develop the process of group discussion in meetings where democratic participation is assured and where consensus, reached by agreement based on thorough analysis, takes the place of voting.

(4) To help them see that no planning and action by a community can be democratic in its nature unless it is based on scientific study.

(5) To help the neighbours examine the old patterns of cultural control, the patterns of influence and power in the society they know, in order that through this examination they may find the way to enjoy the freedoms guaranteed to them constitutionally.

(6) To help them learn through practical experience that freedom from dependence does not mean the substitution of an independence that rejects all outside contact; that, on the contrary, the opposite of the enslaved condition of dependence is one of interdependence where all educational, technical and scientific help inside and outside the community is sought and shared.

(7) To help the people of a community (including their leaders) study, through a living experience, the purpose and role of democratic leadership.

(8) To help them come to action, to the solution of a problem, as the result of these concerns so that any physical expression of their labours shall be understood *not* as the end product but as a natural contribution in the democratic order of things.

(9) And when the day comes for celebrating the solution of a problem, to help them see clearly that just as the planning and action was theirs, so the speech-making, the laughter and the praising must be theirs. For who can better dedicate a new road or a new school than those who with their heads, hands and hearts helped to build it? In this way, in the words of Walt Whitman, they will understand the nature of past struggle; "that it is provided in the essence of things that from any fruition of success, no matter what, shall come forth something to make a greater struggle necessary."

Selection

Just as the merits of a programme of public school instruction must finally rest its case upon the relative strength of the teacher in the classroom, so a programme of community development can be no better than its field worker, or "group organiser" as he is called in the Division. To give meaning to the above objectives it was clear that a man must be found who could encompass them, and this, indeed, was our first major task in the fall of 1949. We began our hunt with the following questions and they still serve us today as the basis for the criteria we use in filling new positions and replacements.

(1) **Was he a man of the people?** A man whose aim is to build self-confidence in the individual, must first believe in that individual. We wanted a man of quiet dignity, who spoke of his neighbour as a man like himself. We did not want a man who thought in the "we-they" pattern. We preferred him to live in the country and if he did, to do so by choice rather than by chance. However, where he lived was not as important as how he felt about himself and his fellow man.

(2) **Could he work in his own community?** Contrary to what some might consider good personnel practice, we believed there were no advantages to be gained by uprooting a man from his environment and sending him to a strange community. If for some reason a worker possessed qualities which make it difficult for him to relate himself to his own neighbourhood, they would undoubtedly be the same ones which would make it hard for him to work elsewhere. The man we hoped to find was one who enjoyed working with his own people and would be accepted by them.

(3) **Was he a happy man at home?** We foresaw that the demands of the job were so great that as far as his family went, the only man who could serve with security was one who, being a good husband and father, had the full support of his wife and children.

(4) **What concerns had he shown for the problems of his community?** We wanted a man who had seen himself related to the other members of his community and had been involved in programmes of planning and action. However, we were most interested in the way he had been active.

(5) **What were his attitudes toward authoritarian behaviour?** Toward the "poor man's" right to participate? Toward the concept that more land, more education, and more influence are the accepted criteria for leadership? The candidate who showed disdain or lack of faith in the people's ability and right to think for themselves could hardly be successful at the task of stimulating all people, regardless of their station, to work together for the common welfare.

(6) **Was he a secure person?** When challenged, did he rationalise, go on the defensive, or discuss the problem with intelligence and freedom? We needed a man of stability. The depth of our interviews, the walks we took with him and the observations we made as he entered new situations gave us some evaluation of his security. However, we had to depend upon the three months of training to bring out a greater measure of this concern.

(7) **Did he have a set of moral values which he used on all situations and all people indiscriminately?** Or was he a person capable of analysing beyond the single act into the deeper motivations of human behaviour? We believed there was no place in our programme for the superficial moralist.

(8) **What was his attitude toward the opinions of others?** Was he a man of intolerant partisan views in such areas as politics, labour or religion? If so he would not be our man, for we were looking for one who would permit self-expression in others; a man free to work with all.

(9) **Was he a static personality or did he possess the capacity for growth?** This was a basic concern. If he had this potential for growth and was not threatened by critical evaluation, he could reach high levels.

General Thoughts

This then was the kind of man we searched for. After a series of intensive interviews ending in selection, the man was brought to "training" for three months. But before we go into a description of what happens during this period, we should like to touch briefly on one or two points.

With us, training is an interrelated part of a programme which puts as much importance on selection and supervision as on training. The same district supervisor and central office staff member who began the initial hunt for the man and who sat in the selection interviews, will later be present at the training session and then continue with supervision in the field.

The initial training period brings together a group of men whom we believe capable of meeting the heavy demands that will be made upon them. We believe they come endowed with the fundamental qualities of character, intelligence and maturity necessary for the job. Training will sharpen these qualities but will not, at any moment, if he was wrongly selected, help the candidate become what he fundamentally is not. If a man has the basic personal equipment for the job, he will find that each moment of stress is a door to new understanding bringing great satisfaction and joy. If he does not have this, he will not be able to meet the challenge, and he and we must find the agreement in a friendly way that will lead to the decision that his happiness lies elsewhere. The " training vignette " that follows makes these facts somewhat clearer.

Training Objectives

start

Once the group is in training, the leader is guided by the following objectives. They are landmarks that show the way as we develop our thinking together during the weeks that lie ahead.

(1) **To help the individual come to a clear understanding and acceptance of the principles of democratic life in a community.** This is the paramount objective and becomes the guiding star around which other aims revolve. He will get this understanding by study and through personal experience, not by being told.

(2) **To examine at depth in the Puerto Rican society the cultural patterns of behaviour that have a direct relationship to democratic community life.** We will help him dig into the roots of the attitudes of the people. He must come to an analytical, balanced approach to the people and their culture, at the same time keeping the warmth and understanding which make him one of them.

(3) **To look into himself and his own conduct with enough freedom and flexibility to be able to put a mirror to his actions,** reflecting for his scrutiny everything from the way he talks to his children to the way he shares finances with his wife; to the way he approaches a farm labourer as compared with the way he presents himself at the home of the land owner. Only to the degree that he is able to do this can he be objective in looking at others and thus get to a deeper sense of democratic principles - principles which otherwise would remain at an entirely theoretical level.

(4) **To create in him, as a result of continuous self-examination, a positive desire for personal growth** based on an honest understanding of himself, his convictions and his motivations in relation to the aims of his work.

(5) **To help him, through his own reasoning, to understand his role as an educator.** There are intensive discussions of what it means to help a person come to his own conclusions rather than to be led to conclusions pre-determined for him. The details of the process of reasoning and the process used in helping a person come to his own conclusions are thoroughly discussed. Extensive use is made of role playing. At this stage, however, we put much more emphasis on the validity of the educational process than on the methods and techniques of the educator. These he will discover as he begins to work in the community and during later in-service training. It is better that the discovery of techniques and methods is postponed, for then he will be free to examine them and accept or reject them in the light of his experience. A firm foundation of beliefs is essential to prevent a man from falling into formulas.

(6) **To help the group organiser understand the structure of leadership within a democratic framework**, learning to recognise the elements present in his culture which can contribute positively to the development of sound leadership and to identify the forces at work against it.

Because of the nature of his past experiences in a culture where the roots of leadership are authoritarian, the trainee will need not only this initial orientation period, but years of practice and many in service training periods before he can come at full grips with this problem. A few weeks of training with a democratic group discussion leader could easily be put aside as theoretical when confronted with the stress of on-the-job decisions. A considerable amount of role playing is undertaken, with the aim of helping him evaluate his own concepts. In this healthy learning device, he gets many new slants on himself.

He may discover, for example, that he is so irritated at having sinned as a do-all in his own community, that he acts now toward such a leader by ignoring him or by pounding on him hard. He may find he is so deeply moved by his new awareness of the evils of dependency that he wants to choke this knowledge down the throats of neighbours who do not seem to care.

(7) **To help the trainee understand the meaning of group discussion.** Of all the subjects brought to training, this is perhaps the only one where all the members of the group become involved in a totally new endeavour. Previous experience in this area has not provided them with a background upon which to make sound conclusions.

The analysis of this subject is left purposely for the end of training. By then the group has achieved some measure of cohesion, and each man is convinced of the value of good group discussion techniques from the struggle each has experienced rather than from text-book theories. The trainees are then able to analyse the behaviour patterns they will gradually shed.

They look back with new awareness at the man who has blocked the progress of the group by forcing acceptance of his ideas without discussion; at the man who, appearing to listen, is really waiting for a pause to plunge in himself; at the man who hears the truth but argues against it because it is more comfortable emotionally to misunderstand. And in these men each sees himself. He can now laugh at his earlier compulsion to spotlight himself by a beautiful but meaningless speech. And he is amused when he remembers how angry he became when the group rejected one of his brilliant ideas.

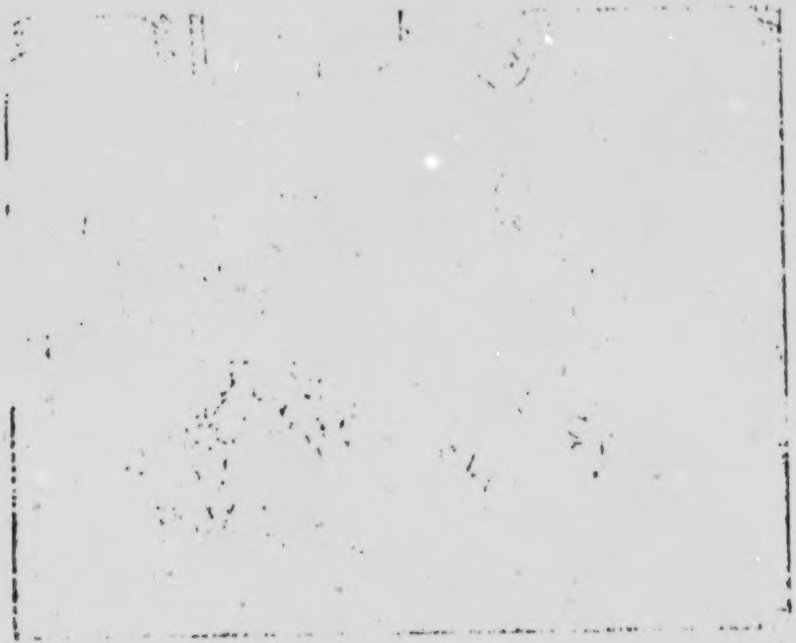
In fact, it often happens, that by the end of training, both supervisor and group organiser have become so sensitive to democratic procedures in group discussion that, during the initial field experience, his fear of acting undemocratically produces passivity when he could and should be more dynamic. But we think it better to take this risk, for it is easier to develop conscious techniques with a man who begins with this kind of sensitivity than with one who ignores the implications of autocratic action.

(8) **To help the field worker organise a programme of work, keep adequate records, and have a positive attitude toward supervision.** Being critical of our earlier professional experience where undue emphasis was given to keeping records and filling out and mailing in reports, we resolved in the Division to develop this important function in the same spirit with which we approached the problem of methods and techniques. As a subject for discussion, it is not introduced until the end of training and is presented then in such a way as to leave the worker free to contribute to its formation. When a plan of work is finally developed it is the result of group thinking. The records the group organiser agrees to keep are those which he and his fellow workers decide are essential to the task. The supervisory relationship is evolved from many periods of discussion in which he contributes his share of the thinking. In this way, the organisation of his job comes about, not arbitrarily, but in a spirit of analysis and study. The careful planning by the group organiser of each day's activity; his weekly schedule based on a three months' programme of work; his well-kept, functional records, many of them reading like diaries; the high level of supervision that prevails throughout the programme, all attest to the fact that this approach is the most successful one.

An Experience in Training

Let us now describe a training "vignette" in an attempt to give you some idea of how it begins and how it is developed.

One morning, at the appointed hour, a dozen newly selected group organisers arrive at our central office in San Juan, coming from different parts of the island, their suitcases in their hands. We then go together to the place where we will live for the next eight weeks. It is a camp—Camp Yukiyú—located in a quiet, rural setting in the eastern hills. The district supervisors and central office staff members who will later work with the trainees, join the group for as much time as their heavy schedules permit.



The group assembles

When the trainees gather for the first session they are asked to introduce themselves to each other. Each is asked to tell a little about his life. Then they are asked to state in their own words their idea of the aims of the programme. One can see immediately a predominant assumption made by all, without exception. Each has now become a "student". Each is hoping to perform well so that he can "pass". His fellow trainee is a source of anxiety, lest he prove to be a better man. Each is striving to establish a direct relationship with the teacher.

However, they cannot quite harmonise this goal with the situation in which they find themselves. For example, the chairs are placed in a circle, with no prominent place for the teacher. The group is addressed in a friendly, relaxed way, and members are asked to come to an agreement as [illegible] they think are the aims of the programme. As each speaks, he is not able to determine whether he has said something that will "place him at the top of the class or flunk him." Furthermore, as the days go by, they begin to realise it is a one-sided sort of an affair. They are only asked about what they think. They have not been able to hear what the training officer thinks or to have her tell them what they ought to be thinking.

Some feel frustrated, others desolate and others confident that the training officer will finally come through. Others decide to wait. But, as time passes and no answer seems forthcoming, there arrives a moment when the group feels at such a loss that they show their irritation openly. At this point, no matter what hour of the day, a break is called. It is the first moment in their short time of living together that they feel like a group, with a common cause: the ineffectuality of the teacher. They talk about it together and when they return a spokesman raises the point formally and asks: "What is *your* definition? *You* are the only one who knows." But the training officer answers that she has no definition, none that she can pass on to them; that the important thing is for them to come to an agreement satisfactory to all. In some training groups this has been accepted (sometimes with the inner conviction that they have an incompetent teacher, but one who must be appeased) and they have continued to struggle.

A Crisis

Not every group accepts, however, and on one occasion the turn of events became more dramatic. The group was small, only six, but up to this point all had shown a greater than usual anxiety to get the right answer from the teacher. They had allowed only two members of the group to answer most of the questions. One of these was a bright young man who kept boasting of his high academic preparation. He had become exceedingly patronising toward the others, especially toward one man who had only a few years of schooling. This second man was older. He had been successful in his community as a political leader and he resented the younger man's effort as a valedictorian. They struggled continuously to be the first to answer a question. But, as the discussions progressed, both were confused that neither was proclaimed the better man.

When the inevitable moment came, the moment described in the paragraph above, it was the older man who had been chosen to confront the training officer with the petition that they be told whether they were on the right path or not. He went into high praise of the learned teacher and said how much they appreciated her wisdom and judgment, but said the group was restless to hear the truth from her.

The trainees then joined in and talked about their resentments and frustration. Finally the training officer asked them, "Why do you think you have been allowed to suffer so?" The bright young man answered, "Because you wanted to get to know us better. You wanted to find out if we could really do this job." The training officer then replied, "Well, if that is so, this condition has gone on long enough. I will therefore end your suffering by giving you the definition." The two "leaders" jumped up from their chairs and shook hands in congratulation. They exclaimed that this was what they had told the group--to relax and answer questions in a way that would help the teacher see that they were intelligent and then wait for the moment when the teaching would really start.

Now they all sat, alert and expectant, notebooks in hand, ready to copy " the definition " from the blackboard. The training officer rose, took up a piece of chalk and wrote the following: " The aim of this programme is to orient communities in projects where political leaders are helped to get the masses of the people to co-operate physically. The ultimate aim is to strengthen the good leaders, to identify those neighbours who do not work hard, and thus, assure the continuation for ever of the present government."

Most faces fell as they read and reread what had been written. One quality we had clearly recognised in the selection of all these men was their non-sectarian view of life. Now they felt really trapped. The older man was the first to react. Did the " teacher " mean to write " masses "? Was she using the word " political " advisedly? It only took an aggrieved look to make him feel apologetic. When another man asked if by " government " the teacher meant " political party ", he was sternly asked, " Are you suggesting I might be wrong? This definition is very clear. More than that, it comes from me " All hastened to assure the training officer that they understood the definition perfectly. " Well then," she said, " I hope you will all memorize it We will continue our discussions tomorrow."

On the following morning it was obvious they had spent hours together the previous evening trying to come to terms with the paragraph. The session started by asking them if they had learned it by heart. The one member who had kept most silent from the beginning burst out at this point with the remark that he could learn nothing he did not understand. And then, as though the dam was broken, they all talked at once They said it was not so much the meaning of the words, but the implications, that disturbed them. Finally the older man said quietly, " If I had known this was the aim of the programme, I would never have joined it " The room was silent. " Neither would I join a programme with such aims ", the training officer said, just as quietly. Suddenly, the place was a bedlam. What did she mean? Had she not stated clearly that these were the aims? How could she now criticize them? Was she perhaps playing games with them? When the room had quieted down and they were able to hear again, she said, "As long as you continue to accept the opinion of another without using your own heads; as long as you consider the act of thinking to be a suffering, then anyone can play games with you."

They were struck dumb for a minute, and then they understood. The rest of the morning was spent in a slow recounting of every step, from the first day up to that very moment. They were able to examine their actions, and remorselessly they held the mirror to their motivations. They had moments of hilarity as they reviewed their empty struggles as " good " students in competition with each other, but they had many more times of serious probing into the way they had behaved. At the end, one of them stated, " I thought I had wasted three days in getting nowhere. I have never spent my time better, even if at the moment I did not know it." The group agreed to try to reach a definition of its own. And then the discussion took on the pattern that usually takes shape in the group—the one which is now described below.

Defining Aims

At the beginning the trainees describe their aims in the future work in terms of a dream; a dream in which they see the rural people someday [illegible] help repre[illegible] enjoying the advantages [illegible] and they talk. They talk of roads, aqueducts, [illegible] of their function as one to help the people [illegible] the face of the training officer. During such a discussion they keep [illegible] for a [illegible] nod or a smile, for they [illegible] are on the right path, for they are committed [illegible]. They assume that [illegible] not hear her disagree. The definition is then written on the blackboard: "The aim of the programme is to help communities solve problems such as roads and aqueducts by working together and making the best use of the help they can get from their government." They are then asked, "Are you satisfied with this definition?" They nod in agreement, and at this stage they do not doubt that this is the "true definition". They have worked it out together. However, there is always one in the group who does not feel satisfied. He raises his hand and says timidly, "I thought our work was different." But he is hushed [illegible] by the [illegible] of the others. They feel he is slowing the progress of the discussion. He does not pursue the point, for neither he nor his companions have yet learned what it means to be good participants in a discussion. The training officer's quiet probing into what he meant brings him to a point of [illegible] he [illegible] himself dumber than the rest. He almost wishes he had never spoken in the first place.

The group then moves on quickly to the next point, to illustrate how this aim would be accomplished by working it out through role playing. Before the role playing begins they are asked to agree on the stage setting. A simple map of a community is drawn on the blackboard. A few lines sketch in the [illegible] trail, [illegible] used to indicate homes along the trail. "How would you begin your work here in the [illegible]? Say you visit the community?" Somebody suggests he contact the leaders and the influential people since they are the ones who can get the others to co-operate. Another suggests meeting with those leaders after visiting each in their homes. Most agree and proceed to choose the ones they would consider important enough to visit and to bring together. The only disagreements come over such details as when they would call the meeting. By now they are eager to act out the home visits and the meeting and they take their roles willingly.

As before, there is always the nonconformist who bursts out in protest at what he thinks is wrong. "No other neighbours will be visited in the community," he says. But again he is told by the others to relax, that those people will come later when the group organiser and the leaders know what work they will be assigned. And since only a few days of training have gone by, such a man will only look at the training officer and, finding no apparent support for her expression, he will prefer to keep quiet. The drama starts, with a trainee playing the role of the group organiser and the training officer playing the role of the leader being visited.

As she plays her role, the training officer shows that she has no faith in people. Her responses reveal a high degree of authoritarianism and her manner is subtly condescending. However, she is in favour of the new venture, and promises full co-operation. Needless to say, the tramplings upon the rights of people go unheard, for the trainee who is acting as the group organiser is mainly concerned with how well he is playing his own role. Meanwhile, the rest of the group is watching and nodding with approval at the expert way he is handling the leader: smooth praises to soften her up, easy acquiescence to avoid her wrath, bright manoeuvring to get her to co-operate. Finally, the two agree on the problem they think is the most urgent, but they are careful to emphasise that this is only tentative. They must consult others

The group feels satisfied with results thus far and suggests that the role playing move on to the next step. The leader and the group organiser now join hands to visit a number of carefully selected persons of influence. Next comes the meeting of these selected neighbours. After a few speeches full of praise for each other, they get down to business and enumerate the problems of the community. A decision is taken as to the most urgent of these.

Group discussion

A plan is made to solve it. Soon it is clear that these men of influence have been chosen well by the leader and the group organiser. There is among them the man who has land to give; the man who can knock on any agency door; the one who can get the mayor to lend the bulldozer and, of course, those who have money and can be persuaded to donate some of it. All, of course, have their own constellation of followers and thus all can contribute one thing in common: the hands of the people for the work that must be done.

The next step is the " community meeting " where the people are told what the project will be and the work that they will do. They are efficiently organised and then dismissed until word goes out that calls them to their duty. At this point in the drama most members of the training group feel certain the project will be a success. They cannot see how such " scientific " planning can fail. And they smile happily at the training officer, who at this point calmly calls for a break in the discussions. She feels the need of coffee, hot and black, but they assume it is for the well deserved rest they have earned. They cannot guess that the more placid the training officer looks the more she is bursting with the challenge of helping them bring vision to eyes that see not and hearing to ears that hear not.

After the coffee break, the group is asked to move into another aspect of the situation. A question is asked with great care to make it sound casual and relaxed. Would it not be worth while now, to take a more detailed look at all the people who live in the blackboard drawn community? The group returns to the map. Each trainee is asked to think hard and to answer with sincerity some simple questions. Who are the people who live along these mountain trails? Is Juanito, the barefoot illiterate living on that remote hilltop, a human being? Does he have a head of his own? Can he think? Would it be biologically possible for Juanito to think with the head of Don José, the leader . . . or vice versa? Is Juanito part of the community? Has his barefootedness anything to do with his capacity to reason? Does he have a right to express himself? Is he a " peón " good only for fixing the road or should he participate in the thinking and planning? How does it happen that this chance has been denied him thus far?

The same questions are asked about the people whom nobody takes seriously; the young man who helps his father farm, the widow with six children and the squatter without land enough for a garden. Slowly, sometimes painfully, the group moves toward a positive answer for each question. It is necessary, in some groups, to dwell longer on an analysis of the difference between the capacity to think and the opportunity some have had to acquire knowledge through academic preparation. This is particularly true if there is in the group a person whose security comes from collecting credits the way squirrels do nuts; someone for whom an additional year of schooling places him just one step further above those he considers unworthy.

In the end, however, the process of reasoning provides the answers for the group. And an interesting observation is that although every trainee has been absorbed in the discussion, no one has yet seen any direct connection with the previous role playing. Finally, the training officer announces she has a tough question for the group. She goes to the blackboard and writes the following: " If you admit that Juanito, Doña María, Pedro and the others have a head of their own, if you agree that they too have a right to be included, how in the name of progress, have you shown such lack of respect for these neighbours that you have ignored them completely in your little drama and fixed everything with the leaders alone? "

In some groups, at this point, you can hear a pin drop. In other groups, the place explodes in protest. But whatever the reaction, a halt is called, a good long one, for each man needs to find a quiet corner where he can curl up, lick his wounds and ruminate.

The Democratic Process

By the following day, it is time to come together again—to relive the role-playing and try to understand where and why they have gone off the track. After much analysis, they are at last able to face the basic question squarely. Is it possible to think of a programme that would have as its goal the development of a faith and respect so deep in each person in the community that the natural conclusion would be that every citizen would consider it his right and responsibility to safeguard with his neighbour all matters concerning the common welfare? And in the minds and hearts of people, could it be that they would consider the upholding of this faith a goal as important as the solution of any physical problem? And could *that* be considered the true aim of community development even if no work projects were underway?

This is the time for clear thinking. The days pass and gradually the response reaches a level of sober agreement. Little by little each trainee begins to examine his earlier years. His analysis, shared aloud with the others, helps him look into those patterns within the culture which influenced him to act the way he did. He tells of how he served the people using methods which unconsciously denied them the right to think and speak. He sees that he was so concerned with material progress that he often sacrified the beginnings of democratic growth. When this self-study is over, he is asked another landmark question: Does he feel that the basic principles and objectives of the programme are so important that he can leave the old ways and dedicate himself to this work for ever?

And, at this point, no one can answer for him. He must speak for himself. If his case is serious, almost he alone can find the solution. If he comes out of it at peace with himself there is little doubt that he will ever return to old ways of thinking and acting. But if he holds back and cannot accept a world in which the Juanitos are equal participants in the democratic process; if he shares with Don José the belief that humanity will be saved through the intervention of the "natural" leaders, then he will prefer to think of these other concerns as "naïve". Sometimes when this happens, and he cannot be honest with himself, the doubting trainee squashes down his disagreement and thus postpones the inevitable day. Finally, however, he cannot stand the test and decides to leave, seeking satisfaction in other ventures where he is free to think first of himself and his personal success.

Training, or a better word, "learning", never stops for anyone at any level. In fact when the initial weeks are over and he goes to the field, the group organiser may well feel that he is just beginning. He brings his concerns to supervisory conferences, to monthly district meetings and to frequent periods of in-service training. In an atmosphere of mutual give and take, he is helped to grow into a man conscious of everything that is happening around him, alert to analyse all of it and to deal with it as a part of his learning. Instead of turning to ready-made formulas, he draws upon his own experience and the experience of his fellow workers, submitting every thought, word and deed to a careful examination under the spotlight of his basic principles. In this way he finds the strength to meet, not only the great physical task that lies ahead of him, but also the intellectual, emotional and spiritual demands which will be even greater.

CBA 4

Unit (d)

The Community Education Division: An analysis of the experience of a Puerto Rican Community Development Organization

Developed by the Theory/Practice Curriculum Project
Institute of Public Administration
Division of Social Science
Medgar Evers College

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Selection Criteria in Puerto Rico's Division of Community Education

A bill creating a new Division of Community Education within Purto Rico's Department of Education was passed in 1949. The bill, in defining the new agency's mission, went beyond the concept of merely imparting a basic eduaction to communities throughout Puerto Rico: it also stated, in fairly explicit terms, the ethical and philosophical dimensions of the new agency's mission which included the inculcation of deep faith in the democratic process, encouragement of communities to develop their own solutions to problems, etc. The statute reads in part:

> The goal of community education is to impart teaching on the nature of man, his history, his life, his ways of working and of self-governing in the world and in Puerto Rico....
>
> The object is to provide the good hand of our people with the tool of a basic education.
>
> In practice this will mean giving to the community the wish, the tendency and the way of making use of its own aptitudes for the solution of many of its own problems of health, education, co-operation, social life through the action of the community itself.
>
> The community should not be civically unemployed.
>
> The community can be constantly and usefully employed in its own service, in terms of pride and satisfaction for the members thereof.

As the underlined section reveals, the mission of this new agency was not merely to impart technical information on health, education, cooperation and social activities, it was to impart in the community the methodology and tendency to deal with its own problems through total community involvement and through the democratic process. The agency then interpreted its mission as helping communities to understand what it means to think and behave democratically, and to make this the foundation upon which to work towards community goals.

Since the philosophical and ethical dimensions of the agency's mission were explicity stated in the legiskation that created the agency, [illegible] criteria that embodied these dimensions were formulated for the selection of group organizers (field workers) in the new agency. Some of the key criteria are the following:

1)Was he a man of the people? If the worker was to relate to and involve the members of the community, there could not be great gaps in background between the worker and the community he serves.

(2)Could he work in his own community? Again, to achieve the goal of maximising community participation and involvement, the worker had to be someone who enjoyed working in his own community and would be accepted by then.

(3) What concerns had he shown for the problems of the community? If the candidate had not been active in community affairs in the past and demonstrated his interest in community problems by involvement in planning and actions, how could he be expected to become succesfully involved in the future?

(4)What were his attitudes toward authoritarin behavior? If the candidate showed disdain or lack of faith in the people's ability and right to think for themselves, how could he be successful in instilling a faith in the democratic process in members of the community?

(5) Was he a mature person? A candidate who felt the need to rationalize or was too directly [illegible] could not [illegible] the complexities of community problems.

(6) Could he keep [illegible] in mind on all issues and see all [illegible] the [illegible] people as they are and could not [illegible] the surface, he could not [illegible] the acceptance and cooperation of the community.

(7) [illegible] respect the opinion of others? If a candidate was not [illegible] the opinions of others into consideration, how could he foster and encourage unity in the community program?

(8) Was he a flexible personality or did he possess the capacity for growth? If a candidate did not continue to grow in response to the environment around him, he could not hope to [illegible] to changing community needs.

In short, the basic [illegible] of the agency's personnel system [illegible] to the attainment of the agency's objectives. The mission of the agency was reflected in the determination as to what kind of employees were needed. Once that determination was made, desired characteristics could be reflected in the selection criteria. To the extent that the personnel system was successfully selecting candidates who actually possessed these characteristics, it was making a direct and positive contribution to the attainment of the agency's mission.

This Puerto Rican approach represented a major departure from the merit and civil service procedures used in the Federal government and various state and local jurisdictions. Agency missions in most jurisdictions are usually defined in fairly narrow terms; there are rarely any explicit references to the ethical and philosophical dimensions of the agency's mission. For example, the mission of the Fire Department might be defined in the City Charter in terms of saving lives, protecting property, and preventing fires. Supportive activities might include the fire inspection program. One would not, however, find explicit references to involving the community in decision-making, or fostering community participation in problem solving.

Since missions are narrowly defined, one would expect job responsibilities to be narrowly defined. Jobs are usually defined only in terms of technical competence; there is rarely an effort to define other desired characteristics. Since jobs are narrowly defined, selection procedures also tend to be narrowly defined; they merely test for technical competence. Even where training and experience evaluations are used to test candidates (the practice in the Federal government), rating keys are usually very strict in terms of what training or experience will be accepted. Merit and fitness are thus defined in most jurisdictions as the ability to do well on a single test or single evaluation of training and experience (within very narrow guidelines).

In the case of the Purto Rican organization, selection procedures involved a series of interviews over a period of time (which greatly increased the validity of the procedures). The experience of private industry and some governmental jurisdictions has shown that an assessment procedure that stretches out over time and involves several exercises is likely to be much more valid than a single test. Unlike the situation in most civil service systems where candidates are ranked according to their performance on the test, and where agencies must selection people in the rank order of the list (they are constrained to choose at least one out of every three candidates on the list), the Puerto Rican organization was free to choose any candidate who demonstrated the desired characteristics. Thus, the Puerto Rican organization's definition of merit was far broader that that typically associated with most civil service systems.

CBA 4

Unit (d)

Babbidge Report. Federal Education Agency For The Future, U.S. Office of Education, Committee on Mission & organization, U.S. Government Printing Office

Babbidge Report. A Federal Education Agency for the Future, U.S. Office of Education, Committee on Mission and Organization, U.S. Government Printing Office, 1961.

PART I

The Mission

THE BASIC MISSION of the Office, to "promote the cause of education," remains unchanged since its establishment in 1867. What has changed is the American public's conception of the role of its Federal Government in education. mission of role

Role (1) For three quarters of a century, the Office of Education was regarded as an agency for the collection and dissemination of information describing the state of American education. a) As the American educational system became increasingly complex, the Office of Education assumed the responsibility for analyzing and interpreting b) this descriptive information. The knowledge born of such study made the Office a source of professional consultative service to organized education. c) Thus did the Office mature from a census-like statistics gathering agency into a broader professional resource for i.e. d) American education and, more particularly, American educators.

Society It is of fundamental importance to note that throughout its development in its first three quarters of a century, the Office existed in a society in which virtually all responsibility for the conduct of American education rested outside the Federal Government. Given a situation in which the directive force of American education resided in States, local communities and autonomous institutions, it was inevitable that the pattern of the Office of Education's activities would be formed largely by outside forces—by the demands and needs of those who were responsible for the actual conduct of American education. In the words of a contemporary student of society, the Office of Education was "other-directed." NB 1) 2)

However imperfectly it may have performed it, the Office of Education had, during this period of its development, a clear responsibility to assist educators throughout the Nation to do their work *as they saw their work*. Problems identified by working educators were referred to the Office for study and analysis, and solutions frequently emerged. But these solutions were—quite properly—the solutions to local problems, advocated only by those with actual responsibility for local education. The value of the Office's function in this process is, to the Committee, obvious. The failure of the Office to do all that it might have done, and all that it might have wished to do in this role,

must be attributed to a combination of factors that include the great variety of local needs and problems, and the absence of adequate mechanisms for the identification of common, recurring, and broadly pertinent problems. The latter obstacle has always been critical, in view of the obvious impossibility of creating a federal agency that could meet all demands for educational service. The Office has had to be highly selective in its areas of professional service, not always in the confidence that it was selecting the most important areas of service, but always in the certainty that it was neglecting many important areas.

The need for service to organized education—service based upon sophisticated analysis and study—has not abated in recent years, nor will it in the future. Indeed, the need for such service is growing and will continue to grow at a rate that poses a real test of the responsiveness of the Federal Government. Despite the significant changes that have taken place in the Federal role in education, the "center of gravity" in American education rests well outside the Federal Government, and will in the opinion of this Committee continue to do so. So long as the "doers" of American education are in local, State and independent enterprises; so long as they confront problems beyond the reach of their professional resources; and so long as a Federal agency exists to "promote the cause of education," then for just that long there must exist an extensive program of research-based service within the Office of Education.

But Also This Committee will recommend in this report that the Office of Education assume new and important responsibilities. But before doing so, it wishes to underscore as forcibly as it can, the need for strengthening of the Office's time-honored functions in the area of professional assistance to education as it is organized. To be sure, the Committee will suggest significant modification of the manner in which such assistance is rendered; but these modifications have as their sole objective the enhancement of the quality of service to organized education. The need for effective service to organized education is so great and is growing so fast, the complexity of educational challenges multiplying so rapidly, that the Committee urges the simultaneous expansion and streamlining of Office activity in this area. Principally, the knowledge resources of the Office (including statistical data and research findings) must be greatly enhanced and their dissemination made fully effective through the use of modern techniques: methods for the planned identification of priority service needs and their effective programming developed; and a greater degree of mobility and flexibility of service activities effected. Only in these ways can the most historic of Office functions be performed in the key and on the scale that the future demands.

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New responsibilities have fallen to the Office of Education during the past decade, supplementing but not replacing those that emerge from its more historic role. These new responsibilities reflect nothing more or less than a change in public conviction as to the role of the Federal Government in the area of education. We have said that responsibility for the conduct of American education—at all levels—remains and will remain outside the Federal Government. But the American people have come to use the one government they have in common to augment and strengthen the activities of the several governments they have separately. The reasons for this are perhaps better analyzed by economists and political scientists; this Committee acknowledges it as a fact. The Committee foresees an extension of the future Federal role in education. ←

The Federal Government has become an active participant in the effort to promote the cause of American education. Two examples will suffice to point out the extent of this shift in attitude, and to suggest certain major reasons for that shift.

School Assistance in Federally-Affected Areas: In 1950, the Congress enacted Public Laws 815 and 874, authorizing Federal payments to local school districts for the construction, and the maintenance and operation, of public elementary and secondary schools. This legislation acknowledges, in effect, the unavoidable interrelationships of public actions taken at different levels of government. By this Congressional action alone, the Office of Education has been called upon to administer funds in excess of two billion dollars during the last decade. ✓

The National Defense Education Act: In 1958, the Congress enacted Public Law 85-864, a complex and far-reaching program involving elementary, secondary and higher education, and having the twofold objective of improving the quality of instruction in the Nation and of encouraging and enabling the fullest development of able youth. The Congress here acknowledged the existence of an identifiable national interest in strong instruction in certain fields, and a national need for highly-trained manpower. Careful always to work in ways that strengthen local autonomy, the Congress nevertheless acknowledged the propriety of Federal stimulus at those points and in those areas of education in which the Nation as a whole has a greater stake than might be recognized locally. This Congressional action makes

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the Office responsible for the administration of $187,450,000 of current appropriations.

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These two Congressional actions indicate the extent to which the Office of Education has recently been called upon to *execute Federal policy affecting education.* It is estimated that about 60 percent of the total Office of Education staff is now engaged principally in the performance of this function. The Office is responsible for the execution of public policy as expressed in over 20 separate pieces of legislation, with grant and contract responsibilities amounting to approximately half a billion dollars a year. The Committee anticipates further extensive growth in this area of Office responsibility. Pending before the Congress at the time of this writing are recommendations of the President that would, if enacted, almost treble the grant budget of the Office of Education.

But not all Federal programs affecting American education are or should be the administrative responsibility of the Office of Education. In higher education alone, it is estimated that some 1.5 billion Federal dollars flow annually to or through colleges and universities, but the Office is responsible for administering less than 10 percent of this amount. Research expenditures of the Department of Defense, the National Institutes of Health and others, are among the items that account for the bulk of Federal expenditures. Increasing concern has been expressed in and out of Government over the possible ill effects of such expenditures on American institutions of higher education.

The Office of Education, as a result of a specific Congressional mandate in Title X of the National Defense Education Act, has been delegated the responsibility of advising and consulting "with the heads of departments and agencies of the Federal Government responsible for the administration of scholarship, fellowship, or other educational programs with a view to securing full information concerning" such programs and "to developing policies and procedures which will strengthen the educational programs and objectives of the institutions of higher education utilized for such purposes. . . ." No less urgent need exists for the assessment of the impact of aggregate Federal action upon the elementary and secondary schools of the Nation. Thus, out of the increasingly active role of the Federal Government in our society, emerges yet another new function and responsibility of the Office of Education. It is to be responsible for the monitoring (in the communications rather than the schoolmaster's sense of the term) of Federal activities that affect the Nation's educational well-being. As such, it must assume the role of a voice of conscience

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within the Federal Government, speaking for the long-term national interest in education, in contrast to the voices that speak of a shorter-range Federal interest in the many uses to which education can be put.

Still another new dimension of Office responsibility has emerged during the last decade, the future implications of which impress this Committee as being of substantial magnitude and extraordinary significance. We refer to the area of international education. The compelling character of world developments inevitably affects educational practices and, as inevitably, educational organization. As the United States has acknowledged its international responsibilities, this has been mirrored in educational affairs, for the educational foundations of international understanding have been among the Nation's important discoveries during this process of maturation. Not only have we, as a Nation, recognized the need to learn more about the peoples of the world and their ways; we have come to realize that other nations may need our help in their efforts to learn more of us and of the rest of the world. We must strengthen and improve our educational system and we must help many others to improve theirs.

The responsibilities of the Federal Government in this effort are marked. Not only is it the constitutional responsibility of the Federal Government to conduct the foreign affairs of the Nation; it is almost equally evident that national observers are especially well qualified to assess the international deficiencies of our domestic educational system. The modern foreign language development program authorized by the NDEA is an instance of Federal identification of an international need imperfectly acknowledged by local and State educational agencies. It seems to the Committee axiomatic that intimate involvement of the United States in international affairs will lead to the identification of other educational needs that could hardly be so readily seen by local, State, and institutional authorities. And for precisely the reason that the Federal Government feels these deficiencies most acutely, it has a unique responsibility to sponsor and subvene their remedies.

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Given an unusually great Federal interest in this area of education, it is evident that a Federal education agency must be especially prepared to cope with problems, issues, and programs in international education. That these activities must be closely related to the Federal agencies responsible for the conduct of foreign affairs is equally obvious. But without the existence of a strong Federal education agency versed in international needs, the phrase "education as an instrument of foreign policy" would take on ominous significance for the future integrity of our educational enterprise.

Thus the Committee sees an urgent need to embrace international educational activities within the Office of Education, and to embrace them not as unavoidable tests of capacity (which they are) but as an extraordinary opportunity to serve the national interest in education.

The last decade has seen added to the historic functions of the Office, then, a variety of new responsibilities: growing responsibilities in the carrying out of established Federal policy; responsibility as the Federal Government's educational auditor; and distinctive responsibility in the field of international education. All three of these new major functions are an outgrowth of increasingly active national concern for education. All three of these new major functions point to what may be identified as a fourth—extensive involvement in the *formulation* of national policy.

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Every agency of the Executive Branch of government serves, to a greater or lesser degree, in a staff capacity to the President of the United States. The President alone is responsible for the formulation of Executive Branch policy, but he can be and is aided enormously by the staff of his executive agencies. Historically, with the Federal Government in a passive attitude toward educational affairs, the Office of Education had little responsibility for staff services in the formulation of national policy. Its own staff, indeed, was virtually dedicated to serving local, State and institutional policies rather than a national policy. In more recent years, as the Federal Government has begun to search out the dimensions of a national policy, it is not surprising that it has relied only partially on its own educational agency for staff assistance. Small, staffed by persons primarily concerned in the rendering of service to their counterparts in the field, and inexperienced in the administration of Federal programs, the Office of Education may have appeared a weak reed on which to lean. Its orientation to the needs of education as it is (now) organized led not infrequently to the charge that the Office of Education was too professionally-minded to render staff assistance in the formulation of public policy.

The members of this Committee acknowledge without apology that the Office has not been able to render the staff services now required. We would observe that until recently virtually no one has wanted the Office of Education to be anything other than what it was. Such inadequacies as the Office may have displayed in recent years reflect the speed with which its functions and responsibilities are changing; to have today's responsibilities with yesterday's resources has proven embarrassing.

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This Committee, having as its charge the assessment of tomorrow's responsibilities, will urge action to insure that the Office of Education is prepared to render vastly increased staff services to the President (and through him to the Congress and the American people) in the initiation and formulation of broad national policies in the field of education.

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In the United States, more so than in any other nation in the world, educational policy is shaped by the people. This is true whether one thinks of the Nation's 42,000 local school boards or of the Congress of the United States. It is the American conviction that the destiny of the Nation is secure only in the hands of the people.

This critical fact of American life has great significance for the future of the U.S. Office of Education. Most importantly, it means that the Federal educational agency must never isolate itself from the public. Indeed it must do all in its power both to hear the voice of the people and to speak to the people on matters of education. It must, in a current phrase, be an office of education, not an office of educators.

More specifically, the popular foundations of American education argue for the treatment of educational problems in the larger context of American life. Questions of educational finance cannot be studied without regard to public finance and taxation generally; the problems of juvenile delinquency cannot be disregarded simply because they are only partially of educational origin; nor can the educational needs of Americans be neglected simply because the individuals have matured beyond the traditional school years. They argue, too, for a staff that is broadly concerned with and sensitive to all aspects of American life. Finally, the popular nature of American education argues for the creation of a national lay advisory body in the field of education.

Given these general observations about the future role and functions of the U.S. Office of Education,[1] the Committee believes that the present organization of the Office is not adequate. We have endeavored, in the remainder of this report, to describe an organizational structure that we believe would facilitate the effective exercise of responsibilities we see in store for the Office. We cannot in good conscience say it is perfect or that it is necessarily the best organizational pattern for the Office. Certainly there are a variety of other suggestions that could be made. We are, however, agreed that the organizational structure recommended is the best expression of our views that can be offered after many months of earnest study.

Given this mission these functions present org = inadequate

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[1] See Appendix B for a fuller statement of the future mission of the Office of Education, prepared by the Committee in December 1960, as a preparation for its discussion of organizational needs.

The Committee is unanimously agreed upon one other thing. No organizational structure will permit the Office of Education to contribute to American life, as we conceive that it should, without persons whose personal qualities, professional preparation and sense of dedication to the cause of education are of the highest order. Without these, and without vigorous and imaginative leadership from the Commissioner of Education, no table of organization will be adequate to the tasks ahead.

need people { personal qualities / profes'l preparation / sense of dedication } of highest order

PLUS leadership [illegible]

- vigorous
- imaginative

plus T/O?

PART I

Overview of Office of Education Mission

Education in the 1960's

THE DECADE INTO WHICH we as a Nation are entering will pose a series of unprecedented challenges to American education.

These challenges are a consequence of the dynamic state of National and world affairs. The product of rapidly advancing technology, and of restless, growing populations, they are reflected in social and economic ferment and in the rising expectations and rising demands of the peoples of the world, operating in a context of deep and threatening ideological conflict. Broadened economic, social, and educational expectations, themselves a harvest of educational seeding, point toward a continuing acceleration of human endeavor in the coming decade.

Educational Challenges of Quantity and Quality

The impact of these forces on education in the United States is already great. In quantitative terms our secondary and elementary schools are faced with the need to accommodate an increase of some [illegible] pupils, some [illegible] percent of the existing enrollment. Similarly, our colleges and universities must absorb a spectacular enrollment rise of 2,700,000 students during the 1960's, an increase of approximately 70 percent. This problem of sheer numbers itself represents an extraordinary demand upon our educational system, with obvious implications for educational finance, utilization and organization.

Our schools, colleges, libraries and other educational institutions must be prepared, furthermore, to meet the *qualitative* challenges that the coming era will present—challenges affecting the *substance*, *process*, and *spirit* of education. The schools of tomorrow must prepare their students for living in a world of continuous and rapid change, presenting them with unprecedented social, economic, and political problems. We must, in fact, give to education a character

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that will initiate and support a process of life-long learning if Americans are to keep abreast of the accelerating advent of new knowledge and of the increasing complexity of modern life. These prospective conditions are already suggested in part by the rapidly increasing demand for highly specialized and professional skills.

During the coming decade, new means must be developed for identifying and releasing student potential; curriculums will have to undergo continual reshaping and upgrading; and new techniques and tools of instruction will have to be developed.

The Educational Challenge of the World Community

No aspect of the educational task of the 1960's surpasses in significance the fact that education is basic to the effort to bring about an enduringly peaceful world.

The developing nations of the world are seeking desperately to raise their standards of living and improve their economic and social conditions. They recognize that education is the key to this advancement, and they will continue to look increasingly to the United States for aid.

The next decade will bring closer and multiple relationships with Ministries of Education abroad and international organizations, such as UNESCO, The Organization of American States, International Bureau of Education, and others working in the field of education, as problems in education are attacked bilaterally and multilaterally on a worldwide basis.

At home, greater attention to the study of comparative education, history, languages, geography, economics, and comparative government must be given in order to prepare students to understand the world of tomorrow. Likewise, teacher preparation, textbooks and the curriculum in these subject fields must be improved in the decade ahead.

The challenges of the 1960's, however, do not arise from the new pressures and the new potential of that decade alone; they stem in part from the imperative of educational deficiencies that now exist in the Nation. Variations among States and school districts in standards of instruction, facilities, staff, and services expose serious inadequacies. Our progress toward the ideal of equality of educational opportunity is tragically uneven. These deficits clearly spell out the task that must be accomplished at home. Their correction is imperative in the light of our stake in the progress of education throughout the world.

The Role of the Federal Government

The Federal Government carries a heavy responsibility in connection with these challenges. Its trusteeship of the general welfare places upon it an obligation to assist in the development of equality of educational opportunity, to promote the fullest development of the abilities and aspirations of its citizens, and to preserve a system of education that will enhance democratic values. The Federal Government can and should reflect a growing sense of educational nationhood—an awareness that the implications of education are indisputably national, however local may be the control of education.

Practically speaking, this obligation is reinforced by a realistic consideration of public finance—the substantial revenue resources available to the Federal Government as opposed to those available to the States and localities.

The Federal Government must be prepared in the coming decade not only to continue and, where appropriate, expand existing programs of aid to education; it must also develop new avenues of assistance and patterns of educational leadership. It must do all that is necessary to support the pluralistic educational system of the Nation. In the area of international educational cooperation, in particular, it must play the major role, since only the Federal Government can enter into agreements with other governments.

The Mission of the Office of Education

Despite the dynamic character of educational and governmental developments, the basic legislation authorizing the establishment of the Office of Education, now some 93 years old, still furnishes a unifying objective. An Act written in the middle of the 19th century naturally could not anticipate the specific demands of the mid-20th century. Nonetheless, the authors of the Act of 1867 wisely made provisions for the newly created agency to carry out its then unforeseen responsibilities within a general objective: to "*promote the cause of education in the United States.*" The changes of 93 years and the promise of vastly greater change in the next [illegible] notwithstanding, this still describes the central mission of the Office of Education.

Pursuant to this general charge, as further developed by subsequent legislation, the Office has evolved a pattern of assistance to the cause of education characterized by encouragement of the pluralistic structure of responsibility and initiative, and the corresponding lack of central domination.

In keeping with this aim, the Office's research and information activities have been sensitive to those areas of educational inquiry in which needs have been felt by the States, the local districts, and the profession.

At the same time, the mission of the Office has always implied a certain leadership function. As the task of promoting the cause of education has grown, the leadership aspect of the mission of the Office of Education has taken on new significance. The treatment of the several functions of the Office will reflect this aspect of its mission.

Education being thus crucial to the entire national being, the Federal agency having principal concern for education as a whole must provide dimensions of leadership far exceeding the kinds of tasks outlined in the preceding section. In its research and information activities it must be concerned, more than ever before, with identifying and even anticipating needs and problems of national concern in every educational field. Indicators must be sought not only within our educational system, but in the social, economic, political, and moral aspects of our national and international life. Thus the Office of Education must not only assemble, assimilate, and analyze significant elements of the universe of educational data and information, but also be able to discern and analyze those elements of other universes of information which may reveal needs and implication for change in education.

Having identified an area of need, moreover, the Office, must have the strategic mobility to bring to bear upon education problems of high priority the resources required. The dissemination of educational information, although an important function in itself, must be capable of meshing with the more substantive measures which may from time to time be needed. In other words, the Office must be a striking force ready to move along the educational problem front at home and abroad. The action program may range in scope from the rendering of professional counsel to the administering of major financial grant programs.

Concurrently and continuously, the Office must have the willingness and the posture to exert its leadership in the stimulation, encouragement, development, and strengthening of professional leadership in education throughout this Nation and in other nations with like goals and aspirations. It must help to provide to educational leaders the informational resources essential to the exercise of professional leadership in the identification and solution of their educational problems, in the constant improvement of educational programs, and in securing understanding, cooperation, and support of their respective publics.

In the fulfillment of its educational leadership responsibilities at the Federal level, the Office must establish such rapport and mutual understanding as to merit and achieve confidence in its representation of the educational profession in national policymaking, thus rendering more effective its assistance to the policymaker through reports, recommendations, and proposals to the Administration.

Along with these responsibilities should be included that of stimulating and participating activity in the process of formulation, examination, and reformulation of the goals of our national society in terms of educational objectives.

The Office of Education, as the primary Federal agency in the field of education, must look forward to a greater role in planning the Nation's relationships with educational programs, educational institutions, students and faculty members in other countries, in implementing international educational projects in the United States, and in bringing maximum effectiveness to the total international educational effort.

The Five Functional Areas

For the purposes of this statement, five basic functions have been identified as composing the principal substance of the mission of the Office of Education. Although they are not presented as the sole functions of the Office, or as separate and unrelated, they offer a helpful framework for our analysis.

These functions are presented in an essentially historical fashion, rather than in any suggested order of importance. The area described as "Statistics, Research, and the Dissemination of Information," for example, is treated at the outset because it was the first clearly defined and stated function of the Office. "The Promotion of Coherence in Federal Educational Activity" and "Assistance in the Development of Public Policy" are reserved to last because their full significance in the mission of the Office is only now emerging.

Some of these functions are growing rapidly in importance, not at the expense of others, but rather in such a way as to add further dimensions to the total responsibility of the Office. Qualitative changes, moreover, are taking place within each. These changes and the whole context in which they occur are highly relevant to the manner in which the Office organizes for its mission.

The following discussion is designed to reaffirm the essential importance of certain traditional functions, while recognizing that other relatively new ones also are assuming a major place.

CBA 4

Expanded Reading List

1. Ameruso, Anthony R. *Transportation Administration Department of Highways Management Plan for Fiscal Year 1977*, New York City, June, 1976.
2. Bodenheimer, Dick. "City Adopts 'Rounding-Out' Rule Arousing Widespread Outrage," *The Chief: The Civil Employees' Weekly*, New York, April 11, 1973.
3. Budget and Personnel Administration,*Management by Objectives in New York City: Departments of Fire and Highways*, New York City, January-June 30, 1976.
4. *Civil Service Provisions of State Constitution of New York*, Albany, Amended as of 1971).
5. Equal Employment Opportunity Commission," Guidelines on Employee Selection Procedures," *Federal Register*, Washington, D.C., Vol. 35, No. 149, August 1, 1970.
6. Huff, Sheila," Credentialing by Tests or by Degrees," *Harvard Educational Review*, Harvard University, Boston, Vol. 44, No. 2, May, 1974.
7. Lamere, Richard. "Blaylock Claims Pay of Government Lags," *Boston Herald American*, Boston, June 26, 1977.
8. New York City Department of Personnel, *Personnel Policies: 1977*, New York City, 1977.
9. "Notes on Legal Mandates in Regard to Personnel Selection," Theory/Practice Curriculum Project, Brooklyn, 1977.
10. "Notes on New York City Charter Revision," Theory/Practice Curriculum Project, Brooklyn, I977.
11. Office of the Mayor, *Press Release on "Management by Objectives*," New York City, January 15, 1976.
12. Public Employee Unions, *A Study of the Crisis in Public Sector Labor Relations*, Institute for Contemporary Studies, San Francisco, California, 2nd edition, October, 1977.
13. "Redistribution of Personnel Responsibilities After Charter Revision," Theory/Practice Curriculum Project, Brooklyn, 1977.
14. Reif, William E. and Banford, Gerald. "What MBO Really Is," *Business Horizons*, Graduate School of Business, Indiana University, June, 1973.
15. Roche, Thomas F. *Agency Guide to Training and Development Programs*, Department of Personnel, New York City, December, 1976.
16. Sayre, Wallace S. and Mosher, Frederick C. *An Agenda for Research in Public Personnel Administration*, National Planning Association, Washington, D.C., Dec., 1959.

Expanded Reading List (cont'd.)

17. Stanley, David T. (ed.). "A Symposium: The Merit Principle Today," Public Administration Review, American Society for Public Administration, Washington, D.C., Vol. 34, No. 5, September/October, 1974.

18. U.S. Civil Service Commission, Goals and Timetables for Effective Affirmative Action, Bureau of Intergovernmental Personnel Programs, Washington, D.C., 1976.

19. U.S. Civil Service Commission, Guidelines for the IPA Grant Program," Bureau of Intergovenmental Personnel Programs, Washington, D.C., 1976.

20. United States Congress, "Intergovernmental Personnel Act of 1970," Washington, D.C., Jan. 5, 1971.

** Capacities for a Theory/Practice Curriculum Model

1. Is sensitive to his/her own values and to those of others; and to how these values relate to their actions and views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service, as well as a range of behavior which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency responsibilities and actions are incongruous or consistent with these criteria.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsiblities and engages in an on-going critique of one's own products and performance.

9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilties influence what constitutes an appropriate response to a problem issue or situation. *

* Capacity 9 was developed in June, 1977.

** See following page for Revised Draft System of Capacities for complete description.

Revised Capacities System for the Theory/Practice Curriculum Model

1. Can articulate and is aware of own values and those of others and to how these values relate to one's own and others' views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defined judgments on whether one's agency resonsibilities and actions are incongruous or consistent with these criteria.

*3a. Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

**5a. Is able to express simple and only moderately complex ideas, practices situations, conclusions, etc. using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

**5b. Recongizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

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* Drafted after 1977-1978 pilotings. The original Capacity 3 relates to student development of a sense of purpose involving a system of ethics and goals grounded in democratic theory. The newer capacity, 3a, relates to student development of a more generalized sense of purpose and the importance of "purpose" or goals to all phases of public agency management.

** Drafted after 1977-1978 pilotings. Although Capacities 5a and 5b may be viewed as implicit in Capacity 5 itself (as well as several other Capacities), it is, nonetheless, essential to explicitly recognize the importance of being able to write grammatical, professional prose and recognize nuances of professional language. If these Capacities are not made explicit, it is possible that their development will be taken for granted.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an ongoing critique of one's own products and performance.

*9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem issue or situation.

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* Drafted in June 1977.

The CBA/Capacity Grid

The following chart delineates which of the Capacities are developed in the theory/practice units (TPUs) of this CBA. In overall organization, the chart is arranged by TPU. For each TPU, the chart contains three (3) columns. The first column labelled "Capacity" identifies the number of each Capacity developed in the TPU and briefly describes the Capacity. (For a full description of each Capacity see "Revised Capacities System for the Theory/Practice Curriculum Model.")

The second column identified the Medgar Evers College piloting syllabus objective that corresponds to the TPU and the particular components in which a Capacity is developed. (For a full description of the objectives, see the Fall, 1978 Medgar Evers College piloting syllabus. For a description of each TPU's components, see the list of TPUs and their components.)

The third columngives at least one example of how a given Capacity is actually developed in the TPU. Examples may relate to teaching strategies, resources or assessments.

CBA/Capacity Grid

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU (a)	
#5b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	Students learn how nuances of language used in delineating the structure and function of various central personnel models can have an effect on public personnel administration and effective line management.
#6-theory and its relation to informed practice	Objective A/TPU (a), component 1	Discrepencies between merit principles and their implementation are discussed.
#9-roles...their relation to appropriate responses	Objective A/TPU (a), component 2	Various roles are studied in relation to purpose, structure, and function of four major central personnel models. Students see how different models result in different allocations of responsibility for judging, deciding and managing.
	TPU (b)	
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Students develop an awareness of how nuances of language used in delineating the structure and function of an intra-agency personnel unit (e.g, use of specialists or generalists) can have implications for effective line management.
	TPU (c)	
#1-values	Objective C/TPU (c), component 2	Awareness of values, in the broadest sense, is inextricably bound with effective administrative leadership. Students probe: How do various types of supervisors view their subordinates? How does this influence their leadship capabilities? How do your own values and those of others affect the appropriateness of various accomodations and rewards which can be offered as part of the management of public programs? To what extent does the effectiveness of a reward or a leadship system depend on its congruency with the values of the public agency leader(s) and/or subordinate(s)?

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CBA/Capacity Grid (cont'd.)

TPU (c)

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Precise language is essential to writing objectives in MBO. The pre/post assessment asks students to identify the best operationally-defined objective from among five plausible choices. Also, precise language is essential to effective agency supervision. In the pre/post exam, students answer questions based on a verbal exchange between a supervisor and subordinate and choose approximate alternate language that that supervisor might have used.
#6-theory and its relation to informed practice	Objective C/TPU (c), component 1	In studying MBO and its implicit demand for personnel flexibility, students are shown how lip-service to theory does not by itself produce change, improvement or flexibility
#7-implications of actions	Objective C/TPU (c). components 1 and 2	This unit confronts how difficult it can be to get expected results when undergoing a genuine innovation in leadership practice or implementation of MBO. Genuine implementation of an innovative, conceptually-based practice can be very demanding and scary as well as productive. A new, conceptually-based practice that is officially "in" one area (e.g., management planning) can actually require major reforms "in" another area (e.g, personnel) in order to work as originally conceived.
	TPU (d)	
#1-values	Objective D/TPU (d), components 1 and 2	Very important unit in developing awareness of values and how they influence public policies and programs. Democratic interaction and community participation in decision-making activities are discussed. Subsequently, students augment job descriptions (adding responsibilities and qualifications) that take into account these concepts. Students are assessed on their ability to augment a job description for a community worker whose overall responsibility is to assist a region in Puerto Rico to develop its capacity for thought and expression,

CBA 4

CBA/Capacity Grid (cont'd.)

TPU (d)

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU(d), cont'd.	democratic leadership/participation processes and self-help projects. As part of the pre/post test students also augment a description for a fire captain.
#3-purpose grounded in democratic theory	Objective D/TPU (d), components 1 and 2	A central unit for developing this capacity. The agency's mission and program goals contain its purpose. If job responsibilities and qualifications are not designed with an eye towards the ethical and philosophical dimensions of the mission, then a displacement of goals is likely to follow. A variety of assignments develop student awareness that this is as true for "hard" agencies (e.g., fire) as "soft" ones (e.g., community development).
#3a-recognizes and pursues purpose	Objective D/TPU (d), components 1 and 2	Relates writing job descriptions to the purpose of the agency.
#5a-expresses ideas in professional langugage	Objective D/TPU (d), components 1 and 2	Students augment job descriptions both as in-class evaluations and as part of the pre/post test; one of the requisites for a good product is use of clear language in listing responsibilities and job qualifications.
#5b-recognizes nuance of language	Objective D/TPU (d), components 1 and 2	Students read a wide variety of materials which require the ability to understand articles form scholarly journal(s) and actual public agency materials (e.g., job descriptions).

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CBA 6 - Statutory Analysis and Program Implementation, Part II

TPU's and Components

The TPU's represent broad statements of objectives. The components, subsumed under each TPU, represent behavioral or performance objectives which are assessable.

The objectives in the syllabus correspond to the TPU's. The components are not included as such in the syllabus, but they are reflected in the topical outline.

Rev. 4/78

2

TPU's and Components
Competence-based Area - 6

CBA 6

Implementing Statutory Programs and Policies, Part II

TPU a - Ability to grasp important aspects of the social/political/administrative context in which publicy-funded programs and projects are planned and implemented at the local (i.e., city or state) level.

Components:

1. To be able to understand the implications of selected social and political factors in creating a more or less favorable climate for implementing a Federally-funded program.
2. To be able to view the responsibilities/opportunities presented by a particular Federally-funded program for implementation at the local (i.e., city or state) level against the aspects of the background of existing structure, climate and responsibilities of the local agency to which it is assigned for administration.
3. *** To be able to analyze the structure, resources and relationships of a local (i.e., city or state) administering agency designed to administer a Federally-funded program in relation to its stated purposes, guidelines and procedures, and to be able to make realistically-defended judgements about a Federally-funded program or project's potential for effective implementation at the local level.

TPU b - Ability to analyze and/or draft major components of a proposal for Federal support of a program or project at the local (i.e., city, state or community) level.

Components:

1. To be able to understand and use (or critique the use of) key concepts, e.g., "statement of the problem," "objectives," "budget," etc., which comprise the model for a conceptually-based proposal format.

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* Optional, not used in pre/post, MEC Spring '78.
** No pre/post test items have been developed for this component.

2. To be able to identify the basic elements of a locally-sponsored projected proposal [and sequence or discuss them in relation to Federal program goals, guidelines and formats.] *

3.* To be able to draft the "statement of the problem" component of a proposal, in relation to guidelines of a Federally-funded program.

4. To be able to draft proposal "objectives" in relation to the goals and guidelines of a Federally-funded program.

5.* To be able to prepare the "personnel" component of a program (i.e., a proposed project's staffing plan and relate this to the guidelines of a Federally-funded program).

6.* To be able to prepare and analyze a proposal "budget" in accordance with the guidelines of a Federally-funded program.

TPU c - Ability to analyze and appraise plans, descriptions and reports concerning the activities and effectiveness of Federally-funded programs and projects in relation to their underlying policies, stated purposes, procedures, and funding, utilizing program evaluation approaches involving quantitative and nonquantitative data.

Component: 1. To be able to understand basic concepts, techniques and issues in the process of program evaluation.

*
** 2. To be able to understand plans and procedures which yield data for required analysis and reports on program accomplishments, fiscal accounting, etc.

*
** 3. To be able to prepare or appraise program data and reports suitable for various uses e.g., public information media, local citizen feedback, as well as sponsoring (i.e., Federal) agency's review.

* Note: Optional. To be undertaken at the discretion of the instructor. (omitted, Medgar Evers, 2/78)

** NO pre/post test items have been developed for this component.

Revised 6/78

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Fall '78

Medgar Evers College
of
The City University of New York

Public Administration 215 - Statutory Analysis and Program Implementation II

3 hours
3 credits

Syllabus

1. Course Description

Interprets statutory and other sources of program authority and financial support for agency sponsored activities. Students design programs and projects in terms of defined needs and potential sponsorship: they evaluate and recommend modifications of existing programs and projects. Conceptual models are utilized.

Pre-requisite: P.A. 120, P.A. 201

2. Course Objectives

Unit A - To develop the ability to grasp the social/political/administrative context in which publicly-funded programs and projects are planned and implemented at the local (i.e., city or state) level.

Unit B - To develop the ability to analyze and draft major components of a proposal for Federal support of a program or project at the local (i.e., city, state or community) level.

Unit C - To develop the ability to analyze and appraise approaches, plans, descriptions and/or reports on the evaluation of Federally-funded programs and projects.

3. Methodology

Lecture and class discussion will be supplemented by readings in the public administration literature and analysis of proposals, evaluation designs and evaluation reports.

4. Topical Outline

I. The over-all context in which publicly-funded programs and projects are planned and administered at the local (i.e., city or state) level

   a. receptivity to innovation and change as factors in creating a positive climate.

   b. implementing a new program at the local (i.e., city or state) level against the background of existing structure, resources and responsibilities.

II. Analysis and preparation of key components of proposal under Federally-funded program for locally-sponsored project.

   a. key concepts in project planning and design.

Outline II (cont'd)

- b. relating key elements of project design to Federal program parameters, e.g., goals, formats, etc.
- c. developing project objectives in relation to Federal program guidelines.

III. Approaches to evaluation of Federally funded programs and projects.

- a. basic concepts, utilized in the process of program evaluation.
- b. approaches to the process of program evaluation; techniques utilized.

5. Required Reading

Students will purchase the following:

1. John W. Gardner. Self-Renewal. Harper & Row, New York, 1963.
2. Mary Hall. Developing Skills in Proposal Writing. Continuing Education Publications, Portland, Oregon, 2nd Edition, 1977.
3. John Van Maanen. The Process of Program Evaluation. National Training and Development Service Press, Washington, D.C., 1973.

nit a.

1. John Gardner. Self-Renewal. Harper & Row, New York, 1963. pp. XI-XV, 1-8, 33-51, 83-106, 143-145.
2. Jule M. Sugarman, Administrator of Human Resources, City of New York. Andover Speech. (An address), Andover, Mass, Interagency Council on Child Welfare, February, 1971.
3. Human Resources Administration, City of New York. Policies Governing the Administration of Public Assistance & Social Services, pp. 1-7.
4. Department of Income Maintenance, City of New York. Handbook for Public Assistance. pp. I-IIA.
5. Glossary of Terms Relating to Statutory Analysis and Program Implementation II. Theory/Practice Curriculum Project, Brooklyn, N. Y., 1977, (offset 4 pages). Items #7, 17, 23, 28, 29, 31.
6. Seeley, David S. "The Community and Decentralization." (An address, Public Education Association. New York, 1972.
7. Case Study: "An Example of Steps Taken In Order to Implement a Program Based on Federal Statute." Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 8 pages).

Required Reading (Cont'd)

Unit b.

1. Mary Hall. Developing Skills in Proposal Writing. Continuing Education Publications, Portland, Oregon, 2nd Edition, 1977, pp. 23-40; 89-192, 235-243, 245-252 (additional pages may be assigned at the instructor's discretion).

2. Glossary of Terms Relating to Statutory Analysis and Program Implementation II. Theory/Practice Curriculum Project. Brooklyn, N.Y. 1977, (offset 4 pages). Items #1, 2, 3, 4, 5, 6, 8, 9, 10, 11, 12, 13, 14, 15, 16, 19, 20, 21, 22, 24, 25, 27, 30, 32, 33, 34, 35.

3. U.S. Office of Economic Opportunity. Community Action Memos. Washington, D.C., #8 with attachments and #8-1.

4. "Analyzing Proposals",""The Involvement of the Community in the Nursing Home: The Community Representative and the Patient". (Overview and Analysis). The proposal is included. (Proposal submitted for funding to Administration on Aging, H.E.W.; 36 pages) Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 45 pages).

Unit c.

1. U.S. Dept. of Labor Manpower Administration Region I. An Automated Management Information System for the Comprehensive Employment and Training Act of 1973, pp. 1-8.

2. John Van Maanen. The Process of Program Evaluation. National Training and Development Service Press, Washington, D.C., 1973.

3. Glossary of Terms Relating to Statutory Analysis and Program Implementation II. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 4 pages). Items #10, 15, 18, 25, 26.

4. "Analysis and Overview of 'Evaluation of the Block Security Program'". Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 7 pages).

5. Mary Hall. Developing Skills in Proposal Writing. Continuing Education Publications, Portland, Oregon, 2nd Edition, 1977, pp. 193-234 (at discretion of instructor).

6. Supplementary Readings

1. "Analyzing Proposals", "Albany Housing Security Program", Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 79 pages).

2. "Analyzing Proposals", "Flatbush Housing Preservation Program", Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 27 pages).

3. Bailey, Stephen and Edith Mosher. ESEA: The Office of Education Administers A Law. Syracuse: Syracuse University Press, 1968, Chapter V, pp. 160-204.

4. Bardach, Eugene. The Implementation Game: What Happens After a Bill Becomes A Law, MIT Press, Cambridge, Mass., 1977.

5. The Community Development Implementation Process: A Case Study of Eleven Cities, Dept. of Housing & Urban Development, Atlanta Regional Office, January 16, 1978.

Supplementary Readings (cont'd)

6. "Evaluation of the Block Security Program' Phase I Report. Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 93 pages).

7. Hentoff, Nat. Does Anybody Give a Damn? Alfred A. Knopf, New York, 1977.

8. McCurdy, Howard. Public Administration: A Synthesis, Cummings Publishing Co., Menlo Park, Calif., 1977, pp. 183-193.

9. Program Operations Manual. New York City Community Development Agency. New York, N.Y., 1971.

10. "Suggested Guidelines For Evaluating Proposals", Theory/Practice Curriculum Project, Brooklyn, N.Y., 1977, (offset 7 pages).

11. The Intergovernmental Grant System: An Assessment and Proposed Policies, Advisory Commission on Intergovernmental Relations, Washington, D.C., March, 1977.

12. Weiss, Carol H. Where Politics and Evaluation Research Meet. (Reprinted: Evaluation, The Minneapolis Medical Research Foundation, Inc., 1973), U.S. Dept. of Housing and Urban Development, Atlanta, Georgia, 1973.

13. White, Virginia P., Grants: How to Find Out About Them and What to Do Next. New York: Plenum Press, 1975.

14. Wholey, Joseph, et al. Federal Evaluation Policy, The Urban Institute, Washington, D.C., 1970.

7. Assessment

Unit (a) - Quiz	15%
Unit (b) - Quiz	15%
Unit (b) - Abstract	15%
Unit (c) - Quiz and/or Exercise(s)	15%
Final Examination*	40%

*In addition, credit will also be given in the final grade for the degree of growth and progress during the semester (1 point added for each 10 points of growth, based upon pre/post scores) and from 1 to 4 points may be added for exceptional class participation, at the discretion of the instructor.

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TPU's and Components

8

Competence-based Area - 6

CBA 6

Implementing Statutory Programs and Policies, Part II

TPU (a) Ability to grasp the social/political/administrative context in which publicly-funded programs and projects are planned and implemented at the local (i.e., city or state) level.

Component: 1. To be able to understand the implications of social and political factors in creating a more or less favorable climate for implementing a Federally-funded program.

Component: 2. To be able to identify the responsibilities/opportunities presented by a particular Federally-funded program for implementation at the local (i.e., city or state) level against the background of existing structure, climate and responsibilities of the local agency to which it is assigned for administration.

TPU (b) Ability to analyze and/or draft major components of a proposal for Federal support of a program or project at the local (i.e., city or state or community) level.

Component: 1. To be able to understand and use (or critique the use of) key concepts, e.g., "statement of the problem," "objectives," "budget," etc., which comprise the model for a conceptually-based proposal format.

Component: 2. To be able to identify the basic elements of a locally-sponsored project proposal.

Component: 3. To be able to draft and develop proposal "objectives" in relation to the goals and guidelines of a federally-funded program.

TPU (c) Ability to analyze and appraise approaches, plans, descriptions and/or reports on the evaluation of federally-funded programs and projects.

Component: 1. To be able to understand basic concepts relating to program evaluation.

Component: 2. To be able to identify different approaches and/or techniques relating to the process of program evaluation.

The Assessment Method & Criteria Section relates to the Pre/Post Examination and should be viewed in conjunction with each unit of the Pre/Post.

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CBA 6 Pre/Posttest

ASSESSMENT METHODS AND CRITERIA

Unit (a) Components (1) and (2)

Method: True-false, multiple choice and concept identification quiz

Criteria: a. Students are provided with a series of questions concerned with social and political factors affecting the state/local context in which federal programs are implemented, including the structure and climate of the state/local agency to which that responsibility is assigned. Topics include change, self-renewal, innovation, legal factors, and community or agency variables relating to them.

b. Criteria for assessing students include:

1. Can the student accurately identify the major points and key concepts relating to the social/political/administrative context of program implementation at the local level as identified by Gardner and others?

2. Can the student relate these points and concepts to opportunities for local implementation of a federal program?

3. Can the student identify important variables in the community and/or administering agency influencing receptivity to new/amended programs and their potential for success?

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CBA 6-Unit (b) components (1) and (2)

Pre/Post-test

Assessment Methods and Criteria

Method: Matching and a form of multiple choice.

Criteria: (a) Students are given examples of statements illustrating problems frequently found in proposals and they are required to match these with the correct description of the problem. They also are provided a list of proposal format elements and non-elements, from which they must choose those which are basic components of good proposal design.

(b) Criteria for assessing students include:

1. Is the statement from a proposal correctly identified with a problem common to proposal writing and/or format use?
2. Is the student able to choose the basic elements of sound proposal formats?

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CBA 6-Unit (b), component 3 Pre/Post-test

Assessment Methods and Criteria

Method: Writing Objectives

Criteria (a): Students are given the goal(s) of a publicly-funded program and must write four objectives for a proposal congruent with stated goals which they identify.

(b): Criteria for assessing the statement of objectives include:

1. Is the objective logically related to the goal it is identified with?
2. Is the objective expressed in language with distinct specificity in contrast to the generality of the goal?
3. Does the statement express a purpose rather than a strategy or a method?

CBA 6 - Unit c
Components 1 and 2

ASSESSMENT METHODS AND CRITERIA

Methods: True-false, short-answer, concept and/or problem identification

Criteria: a. Students are provided with a series of questions focusing on the major points in Unit c: Key terms and concepts utilized in program evaluation and their application, including appropriate processes and procedures.

b. Criteria for assessing students include:

1. Can the student recognize appropriate applications of basic concepts pertinent to the process of program evaluation?
2. Can the student recognize major processes, procedures and possible deterrents to optimality in the program evaluation process?

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 6-Unit (a)
Component 1

____Fall, 19____

Pre-test____ Post-test____

____Spring, 19____

____Summer Term, 19____

Instructions

If a statement below is true, fill in the letter (a) on the answer sheet; if a statement is false, fill in the letter (b).

1. According to Gardner, the capacity for self-renewal refers only to the ability of the individual to adapt to change.
2. Self-renewal involves the continued capacity to maintain creativity and a sense of caring.
3. Maturity in society, as in individuals, frequently retards adaptability and flexibility.
4. Public reactions to change are frequently negative or indifferent.
5. A single, dramatic innovation is usually more meaningful than a series of small innovations.
6. Most people do not have any creative potential.
7. Innovation = new ways of doing or thinking about things.
8. Freedom = the existence of alternatives or choices.
9. Large organizations need to develop greater flexibility and adaptability
10. The free movement of individuals and ideas is not really necessary to sustain the capacity for self-renewal.

Instructions

Identify the correct choice by filling in the appropriate letter on the answer sheet.

11. To avoid decay, a society needs which of the following:
    - a. a sense of caring
    - b. creativity
    - c. innovation and change
    - d. all of the above

12. Which of the following is not necessary to develop creativity?

    a. openness
    b. above-average intelligence
    c. flexibility
    d. independence

13. Political conditions necessary to promote freedom and innovation include which of the following:

    a. promotion of young people to top jobs
    b. a Democratic administration
    c. protection of dissent
    d. frequent elections

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA-6-Unit (a)
Component 2

____Fall, 19____

Pre-test____ Post-test____

____Spring, 19____

____Summer Term, 19____

Instructions

Identify the correct choice by filling in the appropriate letter on the answer sheet.

14. The dangers of "filtered experience" apply primarily to:

    a. voters
    b. top-level elected and administrative officials
    c. television-watchers
    d. agency clients

15. To maintain the flexibility of bureaucracies, Gardner recommends:

    a. frequent firings
    b. contractual relationships
    c. smaller units
    d. all of the above

Instructions

From the following list, identify those factors involving the community which are likely to have an important influence on the implementation of a new program. For questions 16-22, fill in the letter (a) on the answer sheet if a characteristic is likely to be an important influence; fill in the letter (b) next to each characteristic that is not.

16. receptivity to change
17. age level of the population
18. citizen involvement in planning
19. understanding of program
20. income level of the population
21. educational level of the population
22. relationship of the community and/or program constituencies to the implementing agency

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)   Testing Instrument   CBA 6-Unit (a)
Components 1 and 2

_____Fall, 19____   Pre-test_______   Post-test______.

_____Spring, 19___

_____Summer Term, 19____

INSTRUCTIONS: Read the following questions. Choose the most appropriate answer.

23. Which of the following is it appropriate to look to for the mandate to implement state constitutional provisions concerning programs in a field such as social services?

    a) state statute(s) such as the Social Services Law of the State of New York
    b) city statute(s) such as the Social Services Law of the City of New York
    c) an official body appointed by the Governor, such as the New York State Board of Welfare
    d) an official body appointed by the Governor with the consent of the State Senate, such as the New York State Board of Welfare
    e) an official body the members of which are appointed by the Mayor and the Governor

24. The fundemental authority for governmental action at the local level to aid, care for and support the needy as public concerns is found in:

    a) state statute(s) such as the Social Services Law of the State of New York
    b) city statute(s) such as the Social Services Law of the City of New York
    c) a state constitution, such as the New York State Constitution
    d) a federal statute such as the Social Security Act
    e) b) and d) above

25. The Department of Social Services of a city such as New York is created by

    a) state statute(s) such as the Social Services Law of the State of New York
    b) city statute(s) such as the Social Services Law of the City of New York
    c) a state constitution, such as the New York State Constitution
    d) a City Charter, such as the New York City Charter
    e) b) and d) above

26. The designated responsibility of The City of New York, which has been designated as one "social services district" within the State is mandated by specific legislative authority found in

    a) state statute(s) such as the Social Services Law of the State of New York
    b) city statute(s) such as the Social Services Law of the City of New York
    c) a state constitution, such as the New York State Constitution
    d) a federal statute such as the Social Security Act
    e) none of the above

INSTRUCTIONS: From time to time local public agencies are faced with the implementation of a new public program or a new area of program responsibility created by Congressional action to amend an existing statute. The following questions relate to what happens when that occurs.

27. The agency is likely to be faced with a series of local decisions. These will most likely include:

    a) where overall responsibility and accountability for the program will lie
    b) who will benefit
    c) which constituencies will be affected
    d) a) & b) above
    e) all of the above

28. The local decisions may also include:

    a) whether a new structure (or substructure) should be developed to handle the new responsibility
    b) whether existing activities will be adversely affected if the new responsibility is located within the existing structure
    c) whether federal guidelines should be utilized
    d) a) & b) above
    e) all of the above

29. In deciding questions of structure involving the assignment of responsibility for the new program activities and their location, it is appropriate to consider:

    a) present assignments of personnel
    b) capability of present staff
    c) prior performance of existing units
    d) a) and b) above
    e) all of the above

30. Making organizational decisions about new program activities, might well include consideration of:

    a) the effects on clients of one choice over another
    b) fiscal considerations, such as pressure to restrict or lay off existing staff
    c) municipal or state employee union position(s) on current issues raised by various proposals
    d) a) and b) above
    e) all of the above

31. In complex, urban societies each resident belongs to multiple and overlapping communities which may well include some which are:

    a) purely social
    b) political
    c) professional
    d) a) and b) above
    e) all of the above

32. Other such communities might well be:

    a) ethnic
    b) religious
    c) work related
    d) a) and c) above
    e) all of the above

33. In the struggle for control of public schools in New York City, the term "community" has sometimes meant:

    a) "we parents"
    b) "we the public"
    c) "we blacks"
    d) a) and c) above
    e) all of the above

34. In the dynamics of ethnic politics surrounding the struggle for the public schools in New York City, the concepts of "community" are:

    a) different from those involved in the lay vs. professional struggle
    b) the same as those involved in the lay vs. professional struggle
    c) related to similarity in ethnic, religious, or cultural backgrounds
    d) keyed to ethnic similarity, and not to religious or cultural identification
    e) a) and c) above

35. In the political struggle between lay and professional control of public education, the concept of "community":

    a) traces back to concepts of democracy and representative government
    b) relates to political subdivisions that have no particular ethnic, religious or cutural unity
    c) is consistent with the "melting pot" view of American Society
    d) a) and b) above
    e) all of the above

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Theory/Practice Curriculum in Public Administration

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Student's Name (Last, First)

Testing Instrument CBA 6-Unit (b)
Components 1 and 2

____Fall 19____

Pre-test____ Post-test____

____Spring 19____

____Summer Term 19____

Instructions

Each of the following statements (a-e), illustrate examples of mistakes or inadequacies frequently found in proposal formats. First read the statements (a-e). Then, match the mistakes or inadequacies (36-44, see following page) with the statements (a-e) and mark the answer sheet accordingly. Some statements may have more than one mistake or inadequacy.

Statements

a. Statement of the Problem

"Drug abuse has become a major problem across the nation, particularly in large cities of the Northeast. There is a massive need for federal assistance to end all forms of drug dependency within the next two years."

b. Objective

"The objective of the proposed program will be to reduce substantially the number of young adults with drug-related problems."

c. Objective

"The objective of the proposed program will be to reduce by 50% the number of young adults with drug-related problems.

d. Personnel

"The project director will be selected from among the ranks of qualified faculty members."

e. Budget

"Total salary and wage costs will range between $35,000 and $50,000, depending on the cost and availability of outside consultants."

21

Problems, Mistakes, Inadequacies

36. statement too general
37. problem too large
38. statement excessively vague
39. key terms not identified

40. project director not identified by name, title, etc.
41. figures imprecise
42. credentials of key personnel not clear
43. target figure unrealistic
44. statistics unjustified

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Student's Name (Last, First)

Testing Instrument CBA 6-Unit (b)-
Components 1 and 2

______Fall 19_____

Pre-test Post-test

______Spring 19______

______Summer Term 19_____

Instructions

From the following list identify those items which are customarily regarded as basic components of a proposal requesting funds from a federal agency for a state or local program or project. On your answer sheet identify those items that are basic components as (a) and those that are not as (b).

45. budget
46. evaluation
47. statement of the problem or need to be met
48. objectives
49. program design
50. personnel
51. glossary of terms
52. title page or cover sheet
53. index
54. dedication
55. bibliography

Theory/Practice Curriculum in Public Administration

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Student's Name (Last, First)

Testing Instrument

CBA 6 - Unit (b)
Components 1 and 2

____Fall 19____

____Spring 19____

____Summer Term 19____

Pre-test___

Post-test___

Instructions

If a statement is true, fill in the letter (a) on the answer sheet; if a statement is false, fill in the letter (b).

56. A total project proposal should be no more than 10 pages long.

57. Project or program proposals do not have to follow any particular format long as they contain the necessary information.

58. Budgeting is a restatement of a project plan in which ideas are translated into expenses.

59. Sometimes the persons assigned by federal agencies and private foundations to read the budget section of a proposal are accountants, lawyers and other officials who are more concerned with fiscal detail than the merits of the proposed project as outlined in narrative sections.

Instructions

Identify the correct choice by filling in the appropriate letter on the answer sheet.

60. It is customary to present the "approach", or "design", section of the "Procedures" component of a proposal in general terms; and then to group specifics according to one or more of the following ways:

    a) by relationship to specific objectives
    b) by functional areas such as planning, development, implementation, etc.
    c) according to the goals/objectives assigned to key members of the project staff
    d) by major time blocks, such as first three months, second three months (i.e, "quarters" of the project year)
    e) a), b) and d) above

61. Important sections of the "Procedures" component of proposals include:

    a) Statement of the Problem
    b) Administration
    c) Evaluation
    d) Dissemination
    e) a) & b) above

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CBA 6-TPU (b), component 1 and 2 cont'd.
Pre/Post-test

62. Among the major categories included in most proposal budgets are:

    a) indirect costs
    b) travel
    c) stipend costs
    d) space rental
    e) a) and b) above

63. Many experienced proposal writers believe that well-written objectives are the heart of an application for funds to support a proposed project. They also agree that:

    a) the objectives selected do not have to originate in the needs described in the "Statement of the Problem" so long as they are directly in line with the needs or purposes for which the funding is being awarded,
    b) the proposed objectives will structure the selection of appropriate procedures, evaluation, dissemination, personnel, facilities, and budget,
    c) it is not necessary to define objectives for each need addressed in the project
    d) whether a procedure is needed for each objective depends upon the nature, sponsorship, and duration of the proposed project
    (e) b) & d) above

25

NOTE FOR UNIT C PRE/POST-TEST

Items identified "P/P in margin of the P.A. 215, unit c in-semester evaluation represent an appropriate selection of questions which can be added to the pre-post test, based on circumstances such as availability of class time, etc. (They do not represent a distinctly more complex level of achievement.)

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Theory/Practice Curriculum in Public Administration

Student's Name (Last, First)

Testing Instrument CBA-6 - Unit (c)
Components 1 and 2

____Fall 19____

Pre-test____

Post-test____

____Spring 19____

____Summer Term 19____

Instructions

If a statement is true, fill in the letter (a) on the answer sheet, if a statement is false, fill in the letter (b).

64. The evaluation process should be completely separate and apart from all other program activities, such as planning and implementation.

65. The personal relationship between the evaluator and the program/agency workers really has no impact on the success of the evaluation.

66. One operational definition of program/agency operations is simply a designation of who does what, when, and how.

67. The three stages in the development of an evaluation may properly be referred to as specification, measurement and comparison.

68. Of all the stages in preparing an evaluation, specifying the objectives of the program is invariably the easiest.

69. A successful evaluation should focus on those aspects of program/agency activity which are not easily measured.

70. Although some people belive they are extremely important, attitudinal measures are generally believed to be less valuable as indicators of program success than behavioral measures.

71. So long as the evaluator can design one workable measure of agency operations, he/she will have an accurate indication of its success.

72. Judging the effect(s) of a program on a given community is quite difficult.

73. Evaluation designs should focus primarily on the time and effort that program/agency officials consistently put in to achieve program/agency objectives.

Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA 6-Unit (b)
Component 3

____Fall 19____

Post-test____ Post-test____

____Spring 19____

____Summer Term 19____

Instructions

Below is an excerpt from the Guidelines for the Intergovernmental Personnel Act Grant Program for Personnel Management Improvement. The excerpt lists five broad goals within which specific objectives for funded projects can be written. Read these goals and then write four specific objectives which could be incorporated in a proposal requesting funding. You may base each objective on one of the five goals or you may write the four objectives in relation to one goal or a combination of them. In any case write the letter of the goal on which each objective is based in front of each objective.

a. Establishing personnel systems of limited functional coverage, to meet the needs of governmental jurisdictions, to encourage sound career services, for opportunities for advancement, adequate retirement and leave systems, and other career inducements to professional, administrative, and technical personnel.

b. Assessing State and local government short-term needs for professional, administrative, and technical manpower, and the initiation of timely and appropriate action to meet such needs.

c. Stengthening one or more major areas of personnel administration, such as recruitment and selection, training and development, or pay administration.

d. Undertaking demonstration projects to develop and apply better, more innovative, and more imaginative personnel administration techniques.

e. To provide for the recruitment, assignment, and development of handicapped persons, women, members of minority or disadvantaged groups, and others whose capacities are not being utilized fully.

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Handscore 2r

CBA 6-Unit (b), component 3 (cont'd.)
Pre/Post-test

Identify goal by letters in this column

Four objectives are:

1. ____

2. ____

3. ____

4. ____

HANDSCORE 29

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Theory/Practice Curriculum in Public Administration

____
Student's Name (Last, First)

Testing Instrument CBA-5 Unit (c)
Components 1 and 2

____Fall 19____

Pre-test____ Post-test____

____Spring 19____

____Summer Term 19____

Instructions

Questions 1 through 14 are embodied in statements which are incomplete. Answer each one by selecting, from the list that follows the questions, the term or terms which is most applicable and most accurately completes each statement.

1. Evaluation research may focus on the efforts, effectiveness or______________ of an agency.

2. Various specific techniques of evaluation may be classified as monitoring techniques, cost-analytic, and ________________ techniques.

3. Evaluators use a model of program operations to determine__________________.

Obstacles to determining a program's goals include:

4.

5.

Among the data sources concerning agency operations which may appropriately be available to an evaluator are the following:

6.

7.

8.

9.

10.

.

Among the problems an evaluator might anticipate are:

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Handscore

CBA 6 - Unit c, Component 1 and 2 (cont'd.)
Pre/Post-test

a. office gossip
b. latent objectives
c. how the program is supposed to work
d. social research
e. program shifts
f. financial records
g. efficiency
h. conflicting or counter-productive agency traditions
i. physical evidence
j. contradictory expectations
k. comparison
l. newspaper accounts
m. examinations
n. vagueness and ambiguity
o. interviews
p. anxiety and resistance
q. observation
r. questionnaires
s. ratings
t. psychometric tests
u. tests of information, skills, etc.
v. simulated situations
w. diary records
x. statistics compiled/generated by a government agency

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CBA 6-Unit (a), component 1
Pre/Post-test

Answer Keys

1. (b)
2. (a)
3. (a)
4. (a)
5. (b)
6. (b)
7. (a)
8. (a)
9. (a)
10. (b)
11. (d)
12. (b)
13. (c)

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CBA-6-Unit (a), component 2 - Pre/Post-test

Answer Key

14.	(b)
15.	(b)
16.	(a)
17.	(b)
18.	(a)
19.	(a)
20.	(b)
21.	(b)
22.	(a)

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CBA 6 - Unit (a) Components 1 and 2
Pre/Post-test

Answer Key	Source
23. a	Policies Governing the Administration of Public Assistance and Social Services p.
24. c	"----------------, p. 1
25. d	"----------------, p. 1
26. a	"----------------, p. 1
27. a	Case Study, pp. 1 and 2
28. d	"--------, pp. 1 and 2
29. e	"--------, p. 2
30. e	"--------, pp. 4 and 5
31. e	Seeley---, p. 1
32. e	"-------, p. 1
33. e	"-------, p. 8
34. e	"-------, p. 8
35. e	"-------, pp. 8 and 9

Answer Key
CBA 6-Unit (b), components 1 and 2 - Pre/Post-test

36. a

37. a

38. b

39. b

40. d

41. e

42. d

43. c

44. c

Answer Key
CBA 6-Unit (b), components 1 and 2 - Pre/Post-test

	Answer	Source
45.	a	
46.	a	
47.	a	
48.	a	
49.	a	
50.	a	
51.	b	
52.	a	
53.	b	
54.	b	
55.	b	
56.	b	Glossary and Hall
57.	b	" "
58.	a	Hall, p. 145 (first Edition)
59.	a	" p. 149 "
60.	e	" p. 105 "
61.	b	" p. 104 "
62.	e	" pp. 158 & 162 "
63.	b	" p. 90 "

CBA 6 - Unit c, Components 1 & 2 Pre/Posttest

Answer Key

64. b
65. b
66. a
67. a
68. b
69. b
70. a
71. b
72. a
73. b

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CBA 6

____
Student's Name (Last, First)

Rating Scale for Assessing Pre/Post-test on Unit (b), component 3

The ratings are:

1 = Poor
2 = Inadequate
3 = Adequate
4 = Good
5 = Excellent

Objective (1)

1. Is the objective logically related to the goal it is identified with? 1 2 3 4 5
2. Is the objective expressed in language with distinct specificity in contrast to the generality of the goal? 1 2 3 4 5
3. Does the statement specify a strategy or method, while neglecting the essence of the objective or major outcome(s)? 1 2 3 4 5
4. Is the objective written clearly and concisely, without ambiguous or excess verbiage? 1 2 3 4 5
5. Is the objective written in a grammatically acceptable way? Is the choice of words professionally appropriate? 1 2 3 4 5

Objective (2)

1. Is the objective logically related to the goal it is identified with? 1 2 3 4 5
2. Is the objective expressed in language with distinct specificity in contrast to the generality of the goal? 1 2 3 4 5
3. Does the statement specify a strategy or method, while neglecting the essence of the objective or its major outcome(s)? 1 2 3 4 5
4. Is the objective written clearly and concisely, without ambiguous or excess verbiage? 1 2 3 4 5
5. Is the objective written in a grammatically acceptable way? Is the choice of words professionally appropriate? 1 2 3 4 5

Objective (3)

1. Is the objective logically related to the goal it is identified with? 1 2 3 4 5
2. Is the objective expressed in language with distinct specificity in contrast to the generality of the goal?. 1 2 3 4 5

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CBA 6 - Unit (b), component 3

Pre/Post-test

Rating scale (cont'd.)

Objective (3) (cont'd.)

3. Does the statement specify a strategy or method, while neglecting the essence of the objective or its major outcome(s)? 1 2 3 4 5

4. Is the objective written clearly and concisely, without ambiguous or excess verbiage? 1 2 3 4 5

5. Is the objective written in a grammatically acceptable way? Is the choice of words professionally appropriate? 1 2 3 4 5

Objective (4)

1. Is the objective logically related to the goal it is identified with? 1 2 3 4 5

2.

2. Is the objective expressed in language with distinct specificity in contrast to the generality of the goal? 1 2 3 4 5

3. Does the statement specify a strategy or method, while neglecting the essence of the objective or its major outcome(s)? 1 2 3 4 5

4. Is the objective written clearly and concisely, without ambiguous or excess verbiage? 1 2 3 4 5

5. Is the objective written in a grammatically acceptable way? Is the choice of words professionally appropriate? 1 2 3 4 5

Note: This portion of the pre/post-test was computed to represent 20% of the total examination because of the importance attached to the analytical and writing skills which it reflects.

Handscore '39

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CBA 6 - Unit c, Components 1 and 2 - Pre/Post-test

Answer Key

1.	g.	efficiency
2.	d.	social research
3.	c.	how program is supposed to work
4 & 5 any two of four	h.	conflicting or counterproductive agency traditions
	n.	vagueness and ambiguity
	j.	contradictory expectations
	b.	latent objectives
6. 7. 8. 9, 10, 11 any of these twelve	f.	financial records
	i.	physical evidence
	m.	examinations
	o.	interviews
	q.	observation
	r.	questionnaires
	s.	ratings
	t.	psychometric tests
	u.	tests of information, skills, etc.
	v.	simulated situations
	w.	diary records
	x.	statistics compiled/generated by a government agency
12, 13, 14 a[illegible] three of five	p.	anxiety and resistance
	j.	contradictory expectations
	e.	program shifts
	h.	conflicting or counterproductive agency traditions
	n.	vagueness and ambiguity

CBA 6 - Unit a In-Semester Examination

Note: This in-semester examination is incomplete and needs to be expanded. It has been omitted from this package.

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In-Semester Unit (b) Quiz, Part I

Instructions: If a statement is true, fill in the letter (a) on the answer sheet; if a statement is false, fill in the letter (b).

1. The proposal submitted to a federal agency should be as long as possible and contain as much professional jargon as possible to impress the reviewers.

2. The title page should include only the title of the proposal and its author

3. The abstract is a summary of information on the proposed project, including its objectives, procedures and evaluation.

4. The budget section should state in general terms what the approximate cost of the project will be.

5. The Statement of the Problem section describes the difficulties the author of a proposal had in writing it.

6. The dissemination section refers to the way the outcome of the project will be shared with others.

7. The objectives state, very generally, what the project hopes to accomplish.

8. The evaluation section indicates how the agency officials should evaluate the proposal.

Instructions: Identify the correct choice by filling in the appropriate letter on the answer sheet.

9. Major sections within the "Procedures Component" of proposals typically include:

   a) personnel and facilities
   b) staff development
   c) the design (approach)
   d) participant selection
   e) c) & d) above

Instructions: Read the items below. Fill in the letter (a) on the answer sheet if it is true; if it is false, fill in the letter (b).

The major components of a proposal typically include the following:

10. Title Page
11. Introduction
12. Abstract
13. Background
14. Statement of the Problem
15. Community Involvement in Assessing Need
16. Objectives
17. Coordination
18. Evaluation
19. Personnel
20. Future funding needs
21. Budget

22. Descriptions of personnel and facilities for a proposed project explain what will be required and justify their need. Usually the following items are provided:

    a) An identification of necessary project staff positions.
    b) Job descriptions for key personnel and vitas or resumes for key staff already selected.
    c) Summary of the use of consultants.
    d) Description of facilities and major equipment needed, including what the agency already has.
    e) all of the above.

Instructions: Read the items below, Fill in letter (a) on the answer sheet if it is true; if it is false, fill in the letter (b).

23. Budgeting can be seen as an important final check in clarifying the practical application of the proposed program.

24. No budget, when submitted, can be more than an "informed estimate" of the costs to be required.

Instructions: Identify the correct choice by filling in the appropriate letter on the answer sheet.

25. Among the major categories included in most proposal budgets are:

    a) personnel
    b) publicity
    c) employee benefits
    d) conferences
    e) a) & c) above

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In-Semester Unit (b), Part I (2/3 of grade for quiz)

Answer Key	Source
1. b	Hall
2. b	Glossary
3. a	Hall
4. b	Glossary & Hall
5. b	" "
6. a	" "
7. b	" "
8. b	" "
9. e	Hall, p. 104 First Edition
10. a	" p. 55 First Edition
11. b	
12. a	
13. b	
14. a	
15. b	
16. a	
17. b	
18. a	
19. a	

Answer Key	Source
20. b	
21. a	Hall, p. 55 first edition
22. e	" p. 145 " "
23. a	" p. 149 " "
24. a	" p. 149 " "
25. e	" p. 158 " "

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CBA 6-In-Semester Evaluation
Unit (b), Part II: Format
(optional item in pre/post)

Student's Name

Instructor's Name

Funding Agency Goal(s) and other information

Goal(s): To demonstrate new and innovative approaches to recruitment, selection, evaluation, promotion and compensation of city and state government personnel, with emphasis on identification, development, and rewards for competence, flexibility, adaptability, dependability, and productivity.

Eligibility: Any state or local agency with 75 or more full-time employees.

Note: Typical Awards: Will range from $60,000 - $110,000 p.a. for one to three years.

Abstract

Agency Submitting Proposal:

Title of Proposed Project: (15 to 25 words)

Amount(s) requested: $ ______ Year #1
$ ______ Year #2
$ ______ Year #3

Statement of the Problem: (100-150 words)

Objectives :

*Procedures: (approx. 200 words)

*Also review as Program Design or Plan of Operation

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In-Semester evaluation CBA 6
Unit (b). Part II: Format p. 3

- Dissemination: (50-75 words) ______________________________

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In-Semester Evaluation, CBA 6
Unit (b), Part II: Rating Scale

Student's Name 47

Instructor's Name ______________

Rating Scale

0 = not answered
1 = poor
2 = less than adequate
3 = adequate
4 = good
5 = excellent

1.	Is the title clear and concise?	0	1	2	3	4	5
2.	Is the title within the scope of the Funding Agency's goal(s)?	0	1	2	3	4	5
3.	Is the statement of the Problem (S/P) clear and concise?	0	1	2	3	4	5
4.	Is the S/P written in straightforward, professionally correct language without jargon?	0	1	2	3	4	5
5.	Is the problem described in the S/P timely?	0	1	2	3	4	5
6.	Is the problem described in the S/P significant in terms of the Funding Agency's goal(s)?	0	1	2	3	4	5
7.	Does the problem appear to be of concern elsewhere, as well as important locally?	0	1	2	3	4	5
8.	Does the S/P describe one or more distinct needs?	0	1	2	3	4	5
9.	Are the need(s) described in the S/P clearly defined as to scope?	0	1	2	3	4	5
10.	Are the need(s) described in the S/P clearly defined as to scope?	0	1	2	3	4	5
11.	Are the need(s) described in the S/P clearly defined as to scope?	0	1	2	3	4	5
12.	Is realistic and appropriate data used to define the scope of the problem or need(s)?	0	1	2	3	4	5
13.	Are the need(s) described in the S/P clearly defined as to locale or jurisdiction?	0	1	2	3	4	5
14.	Are the need(s) described in the S/P clearly defined as to locale or jurisdiction?	0	1	2	3	4	5
15.	Are the need(s) described in the S/P clearly defined as to locale or jurisdiction?	0	1	2	3	4	5
16.	Are one or more distinct objectives proposed?	0	1	2	3	4	5
17.	Are the objective(s) defined in very concise terms?	0	1	2	3	4	5
18.	Are the objective(s) defined in very concise terms?	0	1	2	3	4	5
19.	Are the objective(s) defined in very concise terms?	0	1	2	3	4	

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In-Semester Evaluation, CBA 6
Unit (b), Part II: Rating Scale, p. 2

20. Is each objectives restricted to major outputs or outcomes? 0 1 2 3 4 5

21. Is each objectives restricted to major outputs or outcomes? 0 1 2 3 4 5

Is each

22. Is each objectives restricted to major outputs or outcomes? 0 1 2 3 4 5

23. Is each objective grounded in a need described in the S/P? 0 1 2 3 4 5

24. Is each objective grounded in a need described in the S/P? 0 1 2 3 4 5

25. Is each objective grounded in a need described in the S/P? 0 1 2 3 4 5

26. Is each (major) need described in the S/P reflected in an objective? 0 1 2 3 4 5

27. Are the objectives feasible, in light of the S/P and type of agency requesting the project's approval? 0 1 2 3 4 5

28. Does the Procedures section include a convincing statement on the general design or approach which the agency will use to achieve its objectives? 0 1 2 3 4 5

29. Is the general design/approach statement written clearly and concisely, in professional, simple, and jargon-less terms? 0 1 2 3 4 5

30. Does the general design/approach logically flow from the S/P and objectives already defined? 0 1 2 3 4 5

31. Are there (more) detailed statements keyed to specific objectives, functional areas, or major time blocks? 0 1 2 3 4 5

32. Does the dissemination plan describe realistic ways in which the project will have an impact after it is completed? 0 1 2 3 4 5

Note: If students provide fewer answers than the items allocated e.g., two objectives and three items for scoring are provided, the third item should reflect the average of the first two.

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CBA 6
In-Semester Examination, Unit (c)

Items identified "P/P" in margin represent an appropriate selection of questions which can be added to the pre-post test, based on circumstances such as availability of class time, etc. (They do not represent a distinctly more complex level of achievement.)

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CBA 6 - Unit (c) In-Semester Evaluation

50

Semester Year
Instructor ________________

In-Semester Evaluation

INSTRUCTIONS: Read the following questions and choose the most appropriate answer.

P/P 1. The following may be considered realistic view(s) of the process of evaluation:

a) Slide rules and computers provide numbers which lack meaning and value, for evaluation purposes, standing alone.
b) Every evaluation involves a particular perspective on reality.
c) All managers need systematic ways to find out what is going on and being accomplished.
d) a) & b) above
e) all of the above

P/P 2. To fully understand what is involved in the program evaluation process, it is necessary to

a) familiarize oneself with a range of philosophies and methods used in evaluation through reading books and/or monographs and/or articles on the subject.
b) actually participate in the process of evaluation as it is carried on in a program or project.
c) actually develop at least a few program evaluation designs
d) a) and b) above
e) all of the above

INSTRUCTIONS: Each of the next three questions states the purpose of a key aspect of the evaluation process. Select for each the phrase listed below which corresponds most directly to each.

3. "to determine the operations and effects of a specified program"

4. "to determine the operations and effects of a specified program relative to the objectives it sets out to reach"

5. "in order to contribute to the decision-making surrounding the program"

a) certain standards or criteria will be used for assessing the success of the program
b) some sort of research methodology will be used
c) program participants as well as administrators must be involved in establishing objectives
d) evaluation results should be meaningful and useful to on-line administrators
e) funding agency officials are notified of formative as well as summative evaluation findings

INSTRUCTIONS: Read the following questions and choose the most appropriate answer.

6. Evaluation is commonly identified with long-term concerns keyed to funding cycles. It is also appropriate to view it as:

   a) an established approach for the orientation of new program staff/administrators
   b) a technique for creating channels for decision-making by the administrators of various aspects of funded programs
   c) a resource for use in modifying programs to foster realization of their long and short-term objectives
   d) b) and c) above
   e) all of the above

P/P 7. Certain conditions are important in deciding whether or not a program evaluation should be conducted. They include:

   a) agreement by administrators to involve participants in operationalizing the objectives that the program is attempting to achieve
   b) a major pending policy decision which focuses public attention on the program
   c) adequate resources to do the job, including enough time, money, skill and creativity
   d) reason(s) to believe the conclusions can impact program decisions
   e) c) and d) above

INSTRUCTIONS: Of the following phrases, select the one that is most appropriate for each of the following questions.

P/P 8. formative evaluation

P/P 9. summative evaluation

   a) provides the sort of data introduced during the development and earlier implementation stages of a program
   b) is process-oriented, with an eye out for improving performance immediately
   c) refers to decisions carried out after the program has been fully implemented or completed
   d) a) and b) above
   e) a) and c) above

10. The essential stages in the evaluation process include:

   a) comparison
   b) specification
   c) measurement
   d) b) and c)
   e) all of the above

INSTRUCTIONS: Read the following true/false questions. Fill in the letter (a) on the answer sheet if the statement is true; fill in the letter (b) if the statement is false.

11. It is possible to analyze data and draw tentative conclusions based on results obtained by using instruments which, when analyzed, reveal the possibility of invalid, unreliable measurements, so long as these results are labeled "tentative", "exploratory", or "subject to error".

P/P 12. All too often, research-oriented evaluators are overly concerned with esoteric aspects of behavior, and neglect the more programatic and mundane indications of change, such as improved attendance or decrease in the incidence of property damage.

13. A serious error which project directors sometimes make when they cannot find an available standardizedtest which is appropriate for use in their project, is to revise their objectives and procedures, usually by narrowing the focus to changes which can be measured by the convenient, standardized tests.

14. In the context of evaluating programs involving activities such as education and training, it is correct to state that measurement is, in its simplest form, a deliberate sampling of behavior.

15. "Reliability" is the degree to which an instrument measures what it is supposed to measure, and not something else.

16. "Reliability" is the extent to which an instrument measures accurately and is free from random or capricious errors.

P/P 17. If a reading test were administered to two matched groups on consecutive days, and the results showed a one-year average increase in reading ability, we would question the reliability of the instrument.

P/P 18. A reading test may be designed to measure growth in the reading ability of teenage youths as a result of using a particular series of computer-based instructional modules. In order to be valid (i.e., to possess validity), the test situation must screen out any changes which may have occured as a result of, consideration such as other learning opportunities which may have increased reading skill, decrease or increase in the number of students tested and peculiar characteristics of students tested, such as, high IQ, which cannot be generalized to a larger group.

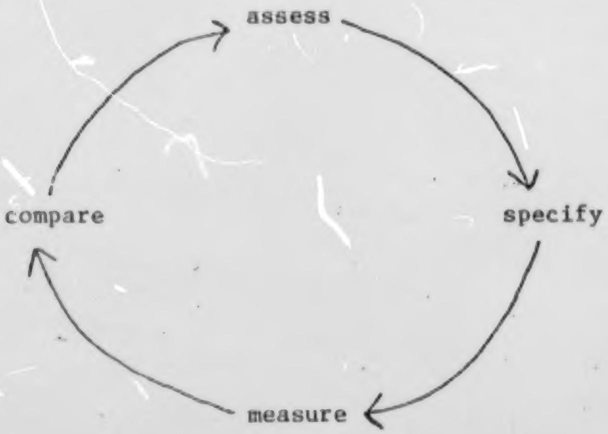
19. Requirements of research design may well call for some experimental control which would be **non-optimal** from the service perspective.

P/P 20. Although the concerns and emphases of "social science researchers" and "program evaluators" may differ considerably, they also share important concepts and methods, e.g., using interviews, observations, analysis of documents, ability tests, questionnaires, standardized attitude inventories, etc., to gather data.

21. There are a number of measurement techniques which are widely accepted in social and educational program evaluation which are not subjected to tests of validity and reliability. They include "unobtrusive measures" such as observations of behavior that are made without the subject's knowledge.

22. The diagram below represents:

    a) the data collection and analysis phases of program evaluation
    b) the key operational elements which define the process of program evaluation
    c) a theoretical model for program evaluation which is rarely suitable for use in an actual, day-to-day, program administration setting.
    d) b) & c) above
    e) all of the above



INSTRUCTIONS: Select the term from those listed below which best describes each of the following phrases.

P/P 23. Discover whether "improving health care for the aged" means "developing better transportation networks", "basic geriatric research", "design of a revised medical school curriculum" or "construction of an experimental hospital to assist the elderly" and describe the criteria to use in assessing progress towards their accomplishment e.g., "decrease mortality rates" or "reduce medical costs for the elderly".

P/P 24. An appropriate methodology must be developed to gauge the progress of the program, e.g., to find ways to denote changes in the state of health care - both in terms of activities and outcomes.

P/P 25. The present state of affairs is viewed in relation to some explicit standard, most commonly the conditions prior to implementation of the program.

    a) measurement
    b) specification
    c) examination
    d) comparison
    e) articulation

26. Recognizing that evaluation is a process that should occur (and reoccur) throughout the life of a program, it is also appropriate to state that:

    a) specification is usually more important during the planning than during the deciding phases
    b) at particular times, some evaluation activities are regarded as more important than others
    c) evaluation involves a common set of related activities which ought to be started during the program planning phase and not concluded until all activities have ceased, at the earliest
    d) b) & c) above
    e) all of the above

27. Ideally, an evaluation plan will be developed during the program design stage, prior to the period in which the program is initiated, which will include:

    a) the specification of objectives
    b) the measurement tactics to be employed
    c) the comparative base to be built into the evaluation design
    d) b) & c) above
    e) all of the above

28. The most important ground rule for the evaluator to internalize is that:

    a) all the ideas & opinions of the program participants are acceptable and important
    b) not all the ideas and opinions of the program participants are acceptable and important
    c) A critical attitude supported by frequent judgments keyed to program goals is necessary from the outset.
    d) Point up divergencies and contradictions in program personnel's perceptions and opinions (always giving the source of the **opposing view**) especially at the outset of the evaluation process.
    e) b) & c) above

P/P 29. In the earlier stages of the evaluation process

    a) it is appropriate to think of the evaluator as "hanging out" at the program locales
    b) the evaluator should start being alert to unusual situations, such as budget crises or a conflict with community leaders, because these situations offer the chance to get important insights
    c) the evaluator should limit face to face contacts with program staff and participants
    d) a) & b) above
    e) b) & c) above

INSTRUCTIONS: Read the following statements. If a statement is true, fill in the letter (a) on the answer sheet; if a statement is false, fill in the letter (b).

30. It is important for the evaluator to create a sense of mutual purpose for his aims through establishing personal relationships with program personnel because they are, in effect, his "eyes" and "ears" for the evaluation effort.

31. During the history of a program, the evaluator should continuously accumulate evaluation data on both content (i.e., what the program accomplishes) and process (i.e., how the accomplishments were made).

P/P 32. Fuzziness of program objectives may well mask the program administrator's over-preoccupation with day-to-day operations at the expense of what the program is supposed to be accomplishing.

33. The evaluator should try to attach important conditions on objectives to prevent misunderstanding, as illustrated by the following example:

"a graduate of this program will be trained as a machine operator"

INSTRUCTIONS: Read the following questions, and choose the most appropriate answer.

P/P 34. Theoretically, the specification phase of evaluation appears to be simple; in practice it is often complicated because the program's purposes (e.g. "goals" or "objectives")

a) are often ambiguous
b) may be no more than pious platitudes in reality
c) in reality change over time
d) a) & b) above
e) all of the above

35. Ideally, program objectives such as those in social/training program areas will be cast (or re-cast) for evaluation purposes in terms which are:

a) clear
b) specific
c) measurable
d) behavior-oriented
e) all of the above

36. The following is likely to be preferable language for use in writing an objective which is well-suited for evaluation purposes:

a) to know
b) to understand
c) to construct
d) to appreciate
e) to believe

P/P 37. Well-defined objectives which are measurable enable evaluators to use the following measurement technique(s):

a) observation
b) questionnaires
c) content analyses of documents
d) interviews
e) all of the above

P/P 38. Enough information should be included in the objective (or conditons attached to it) to make it possible for a competent person to recognize the desired behavior. Select the best example from those which follow:

a) a graduate of the X program will be trained in the fundamentals of photography
b) a graduate of the X training program will learn how to develop black & white and color photographs
c) a graduate of the X training program will be taught dark room techniques of developing and enlarging using 35 mm. film
d) a graduate of the X training program will perform adequately as a professional photographer's assistant
e) a graduate of the X training program will perform adequately as a photographer's assistant in an on-the-job setting, in which 35 mm. and other black and white film is developed and enlarged

P/P 39. Things that vary in a program are known as variables, one major strain of which is termed "operational variables." From the following list, identify the one(s) which fall into this category:

a) participants' exposure to the program, e.g., their attendance at scheduled classes
b) the age of participants
c) the time spent by participants practicing the new skills they are learning
d) a) & c)
e) all of the above

INSTRUCTIONS: Read the following true/false questions. Fill in the letter (a) on the answer sheet if the statement is true; fill in the letter (b) if the statement is false.

40. In practice, the specification and measurement aspects of evaluation are not entirely independent. In fact, instrumentation is normally taking place while objectives are being worked on.

P/P 41. Instrumentation is the development of measures for use in defining program efforts and marking progress.

42. It is correct to state that "program failure" occurs because the whole program never really got off the ground, whereas "theory failure" occurs when a program, fully implemented as designed, does not lead to the stated objectives.

P/P 43. It is important to remember that any one measure utilized as a yardstick for determining the extent of program success is only an approximation of the outcome in which we are interested.

P/P 44. The indicators, or criteria, utilized in the evaluation process are simply the gauges which measure the extent to which the goals of the program are achieved.

P/P 45. Multiple measures are particularly applicable for educational or training programs, especially where objectives include understanding & applying content, as these are outcomes which are only partially amenable to assessment by the formal tests which are the traditional means evaluators have used to measure participant achievement.

46. All measurement involves approximation and proximate measures are used to study immediate results which, presumably, are connected in some way to desired outcomes.

P/P 47. The aims of most programs normally are many years away and it would take decades to test the effectiveness of achieving ultimate (or "long-term") objectives. So we choose proxy measures which we believe are germane to proxy goals.

P/P 48. The trouble with most existing institutional guidelines for organizational performance -- which might be used in evaluating a program -- is that they usually refer only to input or operation variables (e.g., faculty/student ratio, equipment, etc.) and do not relate to the organization's output, so they are rarely much help in trying to gauge the effects of the program.

INSTRUCTIONS: Read the following questions. Choose the most appropriate answer.

P/P 49. Measures used in assessing program success can deal with:

a) staff productivity
b) budgetary allocations
c) an agency offering a service
d) members of the community who are affected by a change in an agency's service
e) all of the above

50. In evaluating changes in program participants, measures may focus on their knowledge, values, opinions and skills. The methods associated with this may include:

a) questionnaires and interviews
b) collection of data from organizational records, e.g., grades, earnings, arrests, recommendations
c) self-reports of the individuals and reports by those who know them, e.g., colleagues, supervisors
d) judgements by experts who rate the participant(s) and/or the program according to pre-designed criteria
e) all of the above

51. Collection of data from a wide range of sources can be grouped into certain major techniques which include:

a) formal observation, e.g., questionnaires, structured interviews, etc.
b) analysis of regularly kept program records, documents, etc.
c) informal observation e.g., watching, participating, analyzing
d) a) & b) above
e) all of the above

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CBA 6 - Unit c, In-Semester Evaluation (cont'd.)

INSTRUCTIONS: A good example of one model of an automated management information system required by a Federal granting agency of state/local program implementing agencies is the CETA, Region I Automated MIS. The following question relates to that system and the mandate for its implementation. Choose the most correct answer to the question which follows.

52. The Comprehensive Employment and Training Act of 1973 (Section 98.31 of the CETA Regulations) mandated that Prime Sponsors implement adequate management information systems

a) to help meet needs associated with federal reporting requirements
b) to help meet needs associated with internal management requirements
c) to help provide adequate control over their on-going operations
d) b) and c) above
e) all of the above

INSTRUCTIONS: A good example of one model of an automated management information system required by a Federal granting agency of state/local program implementing agencies is the CETA, Region I Automated MIS. The following questions relate to that system and the mandate for its implementation. Choose the most correct answer to the questions which follow.

P/P 53. The Region I MIS was developed with financial support from the Manpower Administration and was designed

a) to be adaptable to a variety of CETA manpower service delivery systems
b) to be implementable on commonly available, medium-sized computer facilities access to which is not especially hard to arrange
c) to be readily exported to other CETA prime sponsors
d) a) & b) above
e) all of the above

P/P 54. As one might expect in considering the program purposes and data resources needed for management and evaluation activities, the CETA Region I MIS includes:

a) a summary of the general system characteristics
b) an overview of how the system operates and a general system implementation plan
c) detailed information (in appendices) on how the system works where it was developed and first implemented including specific output reports, input documents, and data processing consideration
d) a) and b) above
e) all of the above

INSTRUCTIONS: Certain criteria have been articulated to express important characteristics for an automated MIS such as CETA Region I. Several statements follow, each of which describes one such criteria. Identify the one that is correct for each of criteria listed below.

P/P 55. flexible

P/P 56. relevant

a) ________ - The overall design of the system is based upon discrete functional modules. Although the modules fit together to enhance the overall capability of the system, each module is designed with a "stand-alone" capability.

b) ________ - Since the system is modular, the design of additional capabilities is possible without the interruption of installed capabilities. Future development activity will include capabilities for integration with the fiscal system, employability planning, enhanced follow-up, and program assessment.

c) ________ - One of the most critical features of the system design is the structure of the reporting subsystem. This subsystem was designed to be completely independent of other parts of the overall system and to be responsive to the needs of different Prime Sponsors for different kinds of information. As a consequence, potential users have a wide range of options for specifying the content, format and timing of reports from the system.

d) ________ - The system is adaptable to Prime Sponsor requirements in two respects. First, it tolerates a wide range of Prime Sponsor delivery system and/or administrative organizations. Second, the simplicity of the design of system software makes the specifics of the system easy to alter.

e) ________ - The system is designed for Prime Sponsor personnel. It is intended to support the Prime Sponsor in operating, monitoring, evaluating and planning. Although the system satisfies Federal reporting requirements, these reports are only a by-product of the system.

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INSTRUCTIONS: Read the following questions. Choose the most appropriate answer.

57. The management information system needed for planning, operating, monitoring and evaluating a service delivery system, (such as for a CETA Prime sponsor's activities) should include:

    a) permanent client records
    b) transaction records
    c) background records
    d) a) and b) above
    e) all of the above

58. The most important thing that a well-designed, automated MIS and a thorough, on-going evaluation process can have in common is:

    a) they both can generate data
    b) each can provide resources for use in generating reports based on quantified information of various kinds
    c) both can offer assistance in identifying problems
    d) both can raise mangement awareness and provide assistance in the decision-making process
    e) both can provide an articulated set of periodic management reports

59. Efforts by program evaluators to create a design which guards against the possibility that something other than the program "causes" the observed effects is associated most closely with the following phase(s) of the evaluation process:

    a) specification
    b) comparison
    c) measurement
    d) longitudinal
    e) a) and b) above

P/P 60. The following phase(s) may be seen as closely associated with the program design/comparative phase of the program evaluation process:

    a) to develop procedures or tactics to serve as an approximation for "what would have happened" if the program had not been implemented
    b) to construct a device of some sort which -- to the extent possible -- protects the program evaluation effort from unnecessary contamination or interference
    c) to select the classic controlled experimental procedure or some less restrictive mode
    d) a) and b) above
    e) all of the above

INSTRUCTIONS: Read the following statements. Fill in the letter a) if it is true; fill in the letter b) if it is false.

P/P 61. The great bulk of evaluation literature seems to exhort the evaluator to model his efforts along the lines of the "true" experiment.

P/P 62. In theory, at least, the "true" experiment is accomplished by setting up two identical groups.

P/P 63. The use of a control group is to rule out the possible contention that outside events are responsible for any observed changes in the "treatment" (i.e., program participation) group.

INSTRUCTIONS: Read the following statements. Choose the most appropriate answer.

64. A program evaluation using the experimental design mode in a basic education turret lathe machine operation training program might be expected to explicitly compare participants' performance with that of a control group, both before and after the program, on relevant output dimensions such as the following:

a) skill level
b) productivity
c) reading level
d) a) and c) above
e) all of the above

P/P 65. The experimental model for program evaluation design has been criticized, with some cause, for the following reason(s):

a) it is not feasible
b) it is not ethical/moral to deny program benefits, e.g., health care to the sick, in order to form/maintain a control group
c) it does not foster on-going improvement during the program
d) a) and b) above
e) all of the above

INSTRUCTIONS: Read the following statements. Fill in the letter a) if it is true; fill in the letter b) if it is false.

66. The basic issue in the comparison stage of the evaluation process is fitting the design to the objectives.

67. In comparison design, the major issue is how to make the comparison group as similar to the program group as possible.

P/P 68. A very attractive practical design involves measurement at periodic intervals. It allows one group to serve as its own comparison and is called "time-series design".

69. The case study may be a valuable component of program evaluation. Although results from an isolated case study are not generalizable to other programs, they can provide penetrating suggestions for internal program improvements.

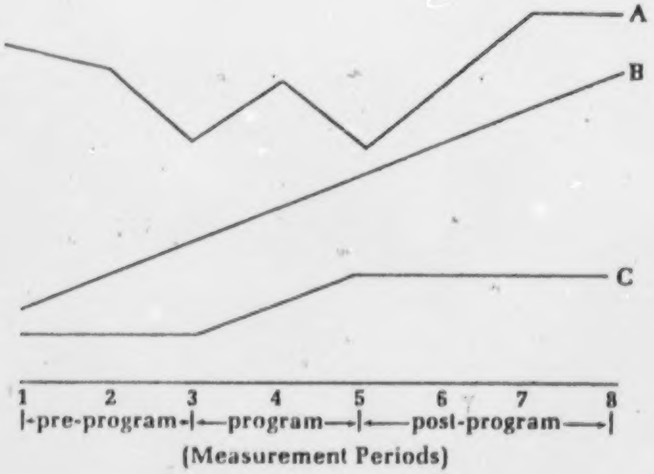
70. Organizations frequently demonstrate tenacious resistance to the questioning observer and effective evaluation activities. This occurs, in part, because the realities of program setttngs are frequently characterized by the power struggles, status seeking and career jockeying that go on within them.

P/P 71. Without question, there are sometimes cases when administrators anticipate evaluation outcomes which are negative, and they look for a way to get off the desision-making hot-seat by getting the evaluator (a "dispassionate third party) to make the decision for them, or at least to cloak it in legitimate wrappings.

P/P 72. Programs invariably drift and attempts to hold them steady are bound to be frustrating. Problems caused by this represent perhaps the most vexing dilemma posed by the evaluation process.

INSTRUCTIONS: Read the following question and choose the most appropriate answer.

P/P 73. In the diagram that follows, showing measurements for three different programs taken in a multiple time series, it may be seen that



a) persons in Program A showed a distinct level of improvement as a result of the program
b) persons in Program B showed a distinct level of improvement as a result of the program
c) Program C had a noticeable effect on the people who participated in it.
d) Programs A & C had a noticeable effect on the people who participated in it.
e) Programs A, B & C had a noticeable effect on the people who participated in it.

INSTRUCTIONS: Read the following statements. fill in the letter a), if it is true; fill in the letter b), if it is false.

P/P 74. Because of the difficulties involved in operationalizing certain objectives of some programs, evaluators may have to settle on certain secondary features - those which can be measured. Project administrators and others associated with program operations may feel, however, that these indicators are trivial and do not accurately reflect program achievements.

75. Certain issues involving process sometimes give rise to conflict or hostility between project administration and project evaluators; they include: record-keeping, data collection, selection of participatns and the use of "control" groups.

76. The most effective way to see to it that constructive results of evaluation be used is through the efforts of highly placed decision-makers who insist upon it and reward staff members who share this view.

P/P 77. In the final analysis, evaluation is concerned with data and recommendations, and not with action. It is not a change process.

P/P 78. The assumption that evaluation results per se will invariable indicate a clear path for program improvement may be misleading or even downright erroneous.

P/P 79. Programs with no prior implemenation history are likely to experience a number of problems which have little or nothing to do with their overall merit (e.g., staffing, organizing, developing administrative procedures, etc.) In these instances, the evaluator has almost a moral responsibility to check his/her evaluation of outcomes until the program is more firmly established.

(4/78)
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CBA 6 - Unit (c), In-Semester Evaluation (cont'd.)

Answer Key	Source
1. e	Van Maanen, preface, 1st page
2. d	" preface, last page
3. b	" p. 1
4. a	" p. 1
5. d	" p. 1
6. c	" p. 1
7. e	" p. 2
8. d	" p. 4
9. c	" p. 4
10. e	" p. 10
11. a	Class discussion (or) Hall, p. 124, 1st ed.
12. a	" (or) " 1st ed., pp. 122-123
13. a	" (or) " 1st ed., p. 121
14. a	" (or) " 1st ed., p. 119
15. b	" (or) " 1st ed., p. 121
16. a	" (or) " 1st ed., p. 123
17. a	" (or) " 1st ed., p. 123
18. a	" (or) " 1st ed., pp. 121-122
19. a	Van Maanen, p. 5
20. a	" p. 6

Cont'd.

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CBA 6 - Unit (c), In-Semester Evaluation (cont'd.)

Answer Key	Source
21. a	Class discussion (or) Hall, 1st ed., p. 124
22. b	Van Maanen, p. 13
23. b	" pp. 13-14
24. [illegible]	" pp. 13-14
25. d	" p. 14
26. e	Van Maanen, p. 14
27. e	" p. 16
28. a	" p. 17
29. d	" p. 20
30. a	" p. 21
31. a	" p. 22
32. a	" p. 25
33. b	" p. 25
34. e	" pp. 22-23
35. e	" p. 23
36. c	" p. 25
37. e	" p. 24
38. e	" p. 25
39. d	" pp. 30-31
40. a	" p. 35
41. a	" p. 35
42. a	" pp. 37-38
43. a	" p. 39
44. a	" p. 38

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CBA 6 - Unit (c)-In-Semester Evaluation (cont'd.)

Answer Key   Source

45. a--------------Van Maanen, p. 39
46. a ------------"---------, p. 40
47. a ------------"---------, p. 40
48. a ------------" --------, pp. 41-42
49. e ------------" --------, p. 40
50. e ------------"---------, pp. 40-41
51. e ------------" --------, pp. 43-44

52. e ------------An Automated Management Information System for the CETA of 1973, p.1
53. e------------"------------------------, p. 1
54. e ------------"------------------------. p. 1
55. c------------"------------------------, p. 3
56. e------------"------------------------, p. 3

57. e--------------"------------------------, p. 5
58. d--------------" -----------------------, p. 7 (and Van Maanen)

59. c--------------Van Maanen ---------------, p. 49
60. e--------------"------------------------, p. 49
61. a--------------"------------------------, p. 49
62. a--------------"------------------------, p. 49

(4/78)
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CBA 6 - Unit (c)-In-Semester Evaluation (cont'd.)

Answer Key Source

63. a ---------------Van Maanen, p. 50

64. e ---------------"---------, p. 50

65. e---------------"---------, p. 53

66. a---------------"---------, p. 54

67. a---------------"---------, p. 54

68. a---------------"---------, p. 55

69. a---------------"---------, p. 58

70. a---------------"---------, p. 61

71. a---------------"---------, pp. 62-63

72. a---------------"---------, p. 64

73. c---------------"---------, p. 55-56

74. a---------------"---------, p. 66

75. a---------------"---------, p. 66

76. a---------------"---------, p. 69

77. a---------------"---------, p. 69

78. a---------------"---------, pp. 69-70

79. a---------------"---------, p. 70 (and c. Weiss, see footnote 5)

CBA 6

Unit

Glossary

Developed by the Theory/Practice Curriculum Project
Institute of Public Administration
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Medgar Evers College

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Glossary of Terms Relating to Statutory Analysis and Program Implementation II

1. abstract (program proposal) - summary of project objectives, procedures, evaluation and dissemination, ranging in length from 250 words to one page.

2. behavioral objectives - program outcomes explicitly defined in terms of precise, observable activities (e.g. demonstrating ability to grasp or do a particular thing).

3. budget section (project or program proposal) - cost of the project or program. A budget is usually divided into categories which include personnel, supplies and materials, equipment, travel, and "indirect" costs.

4. Catalogue of Federal Domestic Assistance - comprehensive listing and description of all federal programs and activities which provide assistance or benefits to the American public.

5. consumable supplies - budgetary category listing such things as paper, clips, pens, etc. for use during the life of the proposed project.

6. contract services - budgetary category listing cost of services provided by individuals and firms not directly or primarily employed by the program or project.

7. cover sheet - See title page.

8. creativity - as used by Gardner, involves the capacity to produce new ways of doing or thinking; a crucial element in building the capacity for self-renewal.

9. criteria - standards utilized in making a decision, e.g., in determining eligibility for program benefits.

10. dissemination (program or project activities) - how the outcomes of the project will be shared with others. How the products or knowledge or other results of the program or project will be transmitted to others in the field for rapid use, thus maximizing the value of the program or project. This is in addition to the interim and final reports typically required by the funding agency for its internal purposes.

11. evaluation section - Details the steps to be taken to learn the extent to which the program or project has accomplished its objectives. Indicates the type of evaluation information to be collected, how this will be analyzed; often gives a pattern for its dissemination and use. (Evaluation criteria are sometimes provided for each objective in local projects.)

12. facilities section (sometimes included in program proposal) - facilities required and how these will be provided. This section may also be used to explain any special equipment or facilities available to the local agency which will facilitate the project.

13. Federal Register - listing of all public federal agency regulations and other legal documents of the executive branch.

14. fringe benefits - budgetary category or line item referring to non-salary compensation owed employees, e.g., health insurance, sick leave.

15. goals - The broad purpose(s) which a program is designed to accomplish e.g., to upgrade the quality of service available to the elderly.

16. indicators - specific focus of measurement chosen for pertinence to crucial agency activities.

17. indirect costs - program costs associated with a particular project which are carried by the sponsoring agency, but are difficult to "break out" as directly attributable to the project, e.g., a share of the cost of maintaining the library, security operations for one or more buildings, a fraction of the time of top administrators, e.g., the president of a college. Formulas are developed and negotiated by sponsoring institutions and approved by Federal agencies for use in computing indirect costs, e.g. 53% of salaries and wages.

18. innovation - changes in ways of doing or thinking which encourage the capacity to maintain vitality and capacity for adaptation.

19. monitoring techniques - techniques for evaluating the on-going procedures and activities of a program, in accordance with statutory, program, or other guidelines.

20. objectives - the proposed outcomes to be accomplished by a program or project in clearly specified terms; usually an objective is provided to meet each major need identified in the preceding section.

21. operational definition - defining an activity in terms of its actual component operations for identification, usually utilizing "active" verbs.

23. performance objectives - determining purpose and evaluating activities specifically in relation to the output functions of an agency; i.e., what it provides in goods and services.

24. personnel (program proposal) - how many and what categories of employees will be needed for the project. How these people will be selected, what is needed in their backgrounds (to make evident the necessary abilities, experience, education, etc.) and the roles and tasks of each.

25. pluralism - the complex interplay of a variety of interests, beliefs and values; vital component of a free society and its capacity for self-renewal (Gardner).

26. Program design (program proposal) - Overall description of activities through which the objectives will be achieved. May begin with an overall design or approach for the project, and descriptions of program strategies, followed by details on specific activities. Typically includes discussion on how the population to be served will be selected, outlines management and administrative structure; details on time needed to carry out the design. Sometimes referred to as "procedures". in research proposals.

27. program or project evaluation - activities designed to determine the operations and effects of a particular program or project in relation to the objectives it sets out to achieve. Can contribute to the decision-making surrounding the program, when carried forward as part of program or project operations (i.e., before termination).

28. program journal - running account, kept by evaluator, of activities and events in the agency under evaluation.

29. program strategy - An idea about how a goal or objective of a program will be realized; e.g., to upgrade the quality of service by making more home care available to the elderly, "...to meet some... needs of low-income families by establishing a program of loans to assist in raising and maintaining their income living standards" (customarily the objective, commencing with "to" is included as well as the strategy, which often is preceeded by the word "by".)

30. public agency - An organization within the Executive Branch of government concerned with the implementation of public policies and programs. It carries out a formal mission, acts on the basis of legal authority, and utilizes tax levy or other public funds.(cf. Regulatory Agencies).

31. public agency structure - The formal organization of agency resources into units through which authority is delegated, communications flow, and personnel and funds are utilized in defined activity.

32. RFP - Request for Proposals sent by federal agency to potential contractors, listing the activity to be undertaken and criteria for awarding of funds.

33. self-renewal - according to Gardner, the capacity of a society (or organization or individual) for continuous innovation and regeneration to avoid stagnation and decay.

34. space costs - budgetary category referring to cost of facilities used to complete the project.

statement of the problem (program proposal) - describes the problem to be solved or needs to be met by the activities described in the proposal, i.e., what needs to be done and why.

36. title page (program proposal) - Frequently referred to as cover sheet. Cover sheet of a proposal. Typically includes title of the project, name of the applicant, name of agency submitted to, inclusive dates of proposed project, total budget request, signatures of authorized personnel approving submission of the proposal from the local agency (details vary).

37. wages and salaries - budgetary category referring to salaries of all full and part-time staff for the project.

CBA 6 - Notes on Required Reading

A number of the items omitted can be readily replaced through the development of instructional materials by faculty or the acquisition of comparable materials from appropriate agencies or quasi-public agencies of relevance to a particular instructional program or the perspectives of students in a program. Some of the items omitted are described below; others appear to be self explanatory, based on the title. In selecting appropriate substitute materials, assessment method and criteria for the unit in which they appear are appropriate guides, as well as student assessment items included in the pre/post test and in-semester evaluations.

Unit a: Item 3 - Policies Governing the Administration of Public Assistance and Social Services. The legal framework for public assistance and social services at the state and local level and the administrative structure and institutions through which they are provided. Includes references to the state constitution, Social Services Law of the state, the State Board of Social Welfare, the State Department of Social Services, local social services districting, Federal participartion, etc.

PEA
PUBLIC EDUCATION ASSOCIATION
20 WEST 40 STREET, NEW YORK, NEW YORK 10018
212 - 524 - 3575

THE COMMUNITY AND DECENTRALIZATION

BY: DAVID S. SEELEY
Director, Public Education Association

Delivered at "The Politics of School Decentralization" Conference

Urban Education, Inc.
Martin Luther King Labor Center
April 22, 1972

The subject is "The Community and Decentralization," but everyone knows that in a city like New York there is no such thing as "the community." Nor could there be in such a city. Nor in my opinion, should there be, even if there could be.

We live in a complex urban society. One of the virtues of such a society, as well as one of its challenges, is the fact that every one of us belongs to multiple and overlapping communities--some of them geographic, such as neighborhood, district, borough, city, state, and nation--some of them ethnic or religious--some of them political--some of them professional or work related--some of them purely social. Obviously in such a setting there could be nothing even remotely resembling the community of a small rural town of two centuries ago.

Then what of "community and decentralization"? Or even more pointedly, what of "community" and "community control"?

I think to answer these questions we must look more closely at the realities of the politics of decentralization, and realize that, in spite of the terminology, they have almost nothing to do with centralization or decentralization as such. This is not a political struggle between some kind of central forces and some kind of local forces. As we all know, it is primarily a struggle between racial and ethnic groups on the one hand, and a struggle between lay and professional control of education on the other. It is the special combination of these two political struggles, going on in the same city at the same time, that gives the politics of decentralization its unique dynamics in New York City. We must understand each of these political struggles separately, as well as in their interrelationship, in order to discuss the issue of "community" intelligently.

So far as the ethnic struggle is concerned, we must remind ourselves that ethnic politics is nothing new, and nothing unique to New York. It has been a pervasive element in the political history of urban America.

The current ethnic rivalry in New York is perhaps more explosive because it centers on race, the most emotional and guilt laden of all the ethnic issues. And it involves a group historically so repressed, that only now, in recent years, has it begun to move toward the power so long denied by private bigotry and public policy.

While I do not wish to minimize the dangers of such a struggle, there is some comfort in the fact that ethnic struggles in this country have usually been settled by a continuous process of accommodation--the endless pushing over of the "in" groups to make room for the "out" groups.

What gives this current ethnic struggle its particular potency is the fact that it is happening along side the other political struggle I have mentioned: the struggle for control of education between the professional educators and their employers--the public. The two battles have often been confused, sometimes by design. But they are entirely different, with different historical and political roots, and entirely different social dynamics.

While ethnic rivalries have been with us from the beginning of time, the struggle between citizens and school professionals for control of education is a relatively new phenomenon.

How did it begin? I think three main developments taking place at about the same time, led inevitably to the present showdown.

First, for some time, the public had been gradually abdicating its traditional control over the schools. Nature, and the professional educators, both abhorred the resulting vacuum, and the professionals moved in to fill the void.

Teachers demanded, and received, increased recognition of their status and prestige as highly educated professionals. In combination with the unionization of the schools, this resulted in a shift of power and the control of education from the public to the professionals. And with their new power they captured the institutions, carefully built up over the years as the means of carrying out the public's policies: the Headquarters bureaucracy, -- the Board of Examiners.

The Board, for example, was set up 70 years ago for perfectly legitimate purposes, but subsequently has taken on a life and mission of its own.

None of these developments attracted public attention until the 1950's and 60's, when citizens began to realize that our educational system simply was not working. It was becoming obvious that something was wrong with the entire process of education for white children as well as blacks: too many youngsters were growing up unable to fulfil responsibilities either to themselves or to their society.

This went far beyond the problems of the schools. But schools were the obvious place to focus these concerns and to focus the efforts to rebuild education so that it could function successfully. And yet as consciousness of this need became clearer, so came the realization that over the years control of the schools had slipped almost entirely into professional hands. By professional control I am not attempting any special definition of "professional"; I am simply referring to control of the educational system by its employees as opposed to control by the public.

Professional control of education in New York City consists of two major elements: The first is the classic phenomenon of bureaucratic control. This happens, almost inevitably in a large bureaucracy, which somehow manages to outlast, outmaneuver, and outpower any lay body that is supposedly in charge of it. This certainly has been the experience of the lay boards of education in New York City in recent history. They have had almost no effect, because they have no means of reaching down through the layers of bureaucracy to effect what happens in the classroom.

The other major element of professional control is the teachers union, which in an impressively short span of ten years has moved from a position of powerlessness to a position of very great power. It is a mistake to equate this significant new power with omnipotence, for it has left many teachers still frustrated and unable to deal with the problems they confront in the classroom and in their professional lives. Nevertheless it is also a mistake to underestimate this new found power. It derives not only from the power to strike and to hold the whole city hostage until demands are met, but also from the very considerable political power that can be generated by a highly organized city-wide network of 60,000 well-paid city employees. The classic case of city employee political power has been the sanitation union, but with the use of the schools, placed in every neighborhood in the city, and with the dues paying capability of city employees working at salaries of up to 18 thousand dollars a year, the potential for political power is even greater with the teachers union.

Between the new muscle power of the teachers union and the inertial power of the bureaucracy, the efforts to reassert lay control over education in a city like New York would have had little chance of success, except for emergence of the other political struggle, namely the ethnic revolt of the Black and Puerto Rican communities in the 60's. It is here that the interrelationship of the two political struggles becomes evident.

As the minority communities began to test their own strength, the school system was an almost inevitable target. It was the most grievously malfunctioning social institution affecting the minority communities. Ethnic struggles, by their nature, involve efforts to gain power, jobs, money, and social status, and the schools were the direct route to all these things. Furthermore, the rhetoric of public education favored community control, even if in actuality big city school systems had come under professional control. The question was, if the people of Scarsdale could control their schools, why couldn't the people of Harlem? The efforts of the minority communities to gain control of their schools fit in with the efforts of others to reassert public control over education in general.

But in the particular circumstances of New York City there were some other quite dangerous aspects to the relationship between the two political processes. At this point in history, the ethnic makeup of the school staff was predominantly of one particular group, namely Jewish, and included only very small minority representation. Consequently, the ethnic struggle and the struggle between lay and professional control became intertwined and inseparable in many minds. The ethnic issue, for instance, became a major factor in the coalition between the teachers union and the supervisors, who until the decentralization fight had been natural rivals. It might have been that these two forces would have coalesced in any case to fight the challenge of increased lay control, but the fact that the lay control issue became identified with the ethnic rivalry cemented the coalition.

The combination of the two struggles also had the unfortunate consequence of permitting the racial issue to be used politically. The present discussion about decentralizing city government is somewhat more thoughtful on the issue, but during the 1968 strike and legislative battle, the use of the race issue by the leaders of the professional organizations and some of the community spokesmen overwhelmed all other considerations and made a rational dialogue virtually impossible.

In short, the two political processes became inextricably confused. Members of the school staff saw the effort to reassert lay control not only as a challenge to their professional position, but as a threat to their ethnic group. Likewise community groups fighting for control sometimes meant "we parents" or "we the public" want control, and sometimes meant "we Puerto Ricans" or "we Blacks" want control. Now it is even "we Chinese," or "we Italians." Who knows, someday even "we WASPS" may become the rallying cry.

All of which leads us now to consider the question of "community" with which we started.

The first fact we must face is that in certain respects the concepts of "community" involved in the two political processes I have discussed are distinctively different. In the dynamics of ethnic politics, "community" must take on a sort of tribal meaning. The sense of community and accompanying politics develops around those with similar ethnic, religious or cultural backgrounds.

In the political struggle between lay and professional control of education, on the other hand, the definition of "community" is more abstract. It traces back to concepts of democracy and representative government, and to political subdivisions that have no particular ethnic, religious or cultural unity. In fact in the ideology of American self government, it is one of the glories of the system that a "community" of many ethnic, cultural, and religious populations can nevertheless function and govern itself despite its diversity.

This contradiction between two basically different concepts of community has never been resolved in the politics of decentralization. It was not resolved in the original Bundy school decentralization plan, for instance. That plan recommended boundaries for community districts be drawn on the basis of criteria that included both "sense of community" and "diversity in composition of student population." It remained unresolved in the districting of Jamaica, Queens and Manhattan. It is interesting to note that the head of the federal school desegregation program was quoted recently at the National School Boards Association meeting in San Francisco as admitting that after review of the complaint about ethnic segregation within the Manhattan district boundaries, they could come to no clear conclusion.

These contradictory concepts of "community" have had an interesting political effect on the dynamics of decentralization. Among the groups favoring community control, there has been a certain schism. The Public Education Association, for example, is committed to control of education by the broader lay "community." We are, traditionally, uncomfortable with ethnic politics.

Other groups, however, ethnic or nationalistic or separatist, that are also committed to "community" control, are impatient with the concept of the "community" as a broad-based, integrated cross-section of society.

This is in contrast to the forces that oppose community control. Whether they oppose control by the ethnic groups or the broader lay groups, they coexist quite comfortably, united as they are in opposition to control by any type of "community."

THE FUTURE

We must ask ourselves now where all this will lead us. Are we heading simply for years of agonizing political struggle among ethnic groups and between lay and professional groups, and years of unresolved contradiction between different definitions of "community"? I believe the answer to this question can only come from considering the politics of decentralization within the broader context of the politics of public education in general. Public education is in critical trouble. And I don't just mean financial trouble or trouble because of the conflicting groups within it. Public education is in serious political trouble. It can no longer assume automatic political support from the public. Too many sectors of American political life are developing reasons for withdrawing their support from public education to leave us with any sense of complacency.

Parochial school interests have always had loyalties outside the public school system. And now increasing numbers of middle-class parents are raising questions as to whether there might not be some alternative to public schools for their children. Sizeable numbers of white parents in the South have already opted for private education to escape integration, and white parents in the North may not be far behind.

Many Black, Puerto Rican, and other minority parents on the other hand, also are seriously questioning the continued validity of public education for their children. Some have already diverted their energies and loyalties to various kinds of community schools and alternate schools outside the public school system. And lastly the liberal community, which over the years has been the ideological mainstay of the public school system, is now becoming entranced with ideas such as those of Ivan Illich and Paul Goodman which lure them into hoping for some way to escape the maddening frustrations of public education as it exists today.

Looked at within this context, the lesson in the politics of school decentralization become clear. Either we find a way to resolve the conflicts, or at least reduce them to a tolerable level, or the entire public educational system will go under. A certain amount of ethnic rivalry is inevitable, and it is inevitable that this rivalry will assert itself in politics. But if ethnic groups in our cities continue to use the demagoguery of racial hatred and racial fear, and this is allowed to become respectable and acceptable, then I think the forces and support for public education will so fragment as to offer no defense to the challenges of the future.

One of the ways to reduce the extremes of ethnic rivalry will be to strike a proper balance between the two different concepts of "community." We have to learn to appreciate the values of both, as well as the dangers and weakness of each. It is unrealistic to deal solely with the classic concept of democratic community and pretend that each citizen will function solely as an individual, without ethnic orientation. We are learning the positive values of ethnic, religious and racial identity, but such identity also has its dangers. It would be undesirable to opt entirely for ethnic politics and give up the concept of democratic community, in which many ethnic groups have to learn to live together and work out their differences in their common interest.

Likewise the lay versus professional political power struggle must be resolved if public education is to survive. Here one might think that a simple compromise of sharing the control might be the proper solution, but I would point out that the basic problem we are facing is the problem of public support for public education. I don't think there is any question but that some of the power won by professionals in the public school system will be retained, and some of it very legitimately. However, if to retain these past victories professional groups continue to tighten their stranglehold on the school system, then the school system will end up strangled.

Public support at the present time is waning at least in part because the public feels that the schools do not belong to them--that they are an institution in which parents can't defend the interests of their children. Once the public can resume its sense of basic responsibility for direction of the schools, I think most laymen will be only too happy to delegate most of the basic operation of the schools to professionals. I don't believe that most laymen, or for that matter even most community school board members in this city, want to continue forever the level of involvement in the day to day aspect of our schools that they are now exercising. They are involving themselves to this extent at the present time because they are trying to regain basic public control over education and because professional groups are still fighting such control in an on-going power struggle.

In summary, then, the politics of school decentralization as I see it is primarily the politics of ethnic rivalry and the politics of lay vs. professional control of education. There is in New York City a complicated interrelationship between these two political dynamics. There is also an important contradiction between the two concepts of community involved in them--a conflict between community as defined in an ethnic or cultural sense and community as defined in a democratic political sense. We must seek out ways of bringing about a creative tension between these contradictions rather than assuming that one can completely displace the other.

Lastly, unless we do find a way to bring about a creative rather than a destructive relationship among all these forces I think we could arrive at a situation where society will withdraw its support for public education, and perhaps turn aggressively against it. Unless the forces that believe in public education can find a way to a new unity of purpose and understanding we cannot expect public education to survive.

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ANDOVER SPEECH

An address by

Jule M. Sugarman

Administrator of Human
Resources   City of New York

JULE SUGARMAN's ANDOVER SPEECH

We are at a watershed point in the history of the Department of Social Services and HRA. We now have to decide which way we really want to go. The fact of separation of income maintenance and social services opens up all sorts of questions about what social services really are, how you really carry them out, how you really make them effective, and how you really give meaning to a Human Resources Administration. I think it is fair to say that the amount of coordination that has been achieved up till now between the activities in DSS and the other parts of HRA has been very minimal. It did happen in a few cases, such as the program for treating narcotics addicts and the recently approved housekeeper program.

But there was, and still is, no really meaningful integration of social services. So the time is here -- and we have now literally only a few weeks or maybe a few months, but no longer than that -- to decide where we ought to go. To that end, I have already had views from a number of organizations and a number of groups of people. Over the next few weeks, we'll have even more, so that we can get the best possible concepts to shape our planning.

I have some biases that I begin with, but I hope you will see them as hypotheses that are changeable if they need to be changed. One of these is a general conviction that the magnitude of problems in New York City is so great and the number of people who are in need of help and assistance, in some form or another, is so enormous that there literally is no way to create a public program with enough staff -- professional or non-professional -- to reach all those persons. If you try to do it in terms of a direct staff-to-people relationship, you just can't mobilize that large an effort.

A corollary is that if you can't do it through staff, you have to do it through some form of organization. You have to try -- in many ways -- to involve the people of the community in helping themselves and in helping one another. So I have a strong bias toward a community organization or groupwork approach. I don't mean in any way to downgrade the usefulness of caseworkers. I am simply saying that talking about dealing with the problems of a million people, we can't depend entirely on a conventional case work approach.

It seems to me that, whether through DSS or through the youth services agency, through community development, or through child development, we have to find ways to reach out and deal with people in groups and use those groups to help one another make progress.

I am somewhat optimistic about this, because no matter where you go in the community -- even in the poorest parts of the community-- you find people with strength. You find people who have that capacity to be helpful to other people. All they need is some encouragement, a little catalytic action, and information and they can produce some very useful results.

I have another strong hypothesis. In this day there is no way in which public officials or private organizations can successfully run a service program without involving the people who are to be affected by that program. I don't believe that there is a single way of creating that involvement. I do not believe in unilateral community control. I do believe very strongly in community participation, and by that I mean essentially that programs are healthier, more viable, and more successful when there is dialogue between the people who are being affected by the program, the other residents of the community, and the professional groups that have some knowledge and skill in thinking about problems. People learn from one another, and I think that, once you get past the stage of learning how to deal with one another -- and that's not easy -- there is a greater viability if people have gone through the process. At every stage of what we do, I am anxious to find ways of creating the situation in which various groups work together, particularly so that people who are involved in services can work together with the people who are trying to provide the services.

I also have a hypothesis that at this point in our history -- our social history -- we have little or no ability to scientifically determine which kind of service is more valuable than another kind of service or another kind of program. We ought therefore to capitalize on those that appeal to people, that have the capacity to draw them into doing something about themselves, whether it be consumer education, child development, family problems, or any one of a variety of services that will attract people. The important thing is to have something that will attract them. Some day you may be able to say with some assurance that it is more important to spend your dollars on family counseling than it is to spend your dollars on consumer education. I don't think we have that capacity now. While I do believe in planning and in budgetary analysis, I don't believe that we have a rationale for comparing priorities.

On the other hand, you can very easily and very successfully take a particular objective and analyse different ways of achieving that objective, such as the cost of adoptions versus foster placement versus placement of people in a home. I think we can do that successfully, and we ought to invest a great deal of effort in trying to do it. I think we will find some method to which we haven't really given adequate attention.

I also have a very strong conviction that people who are providing services need to be at the scene where those services are provided -- not in offices in downtown New York City, not in places that are remote from the people with whom they should be dealing on a day-to-day basis. Accordingly, I would look for all sorts of opportunities to place people who are service providers in locations where the people are, whether it be in schools, hospitals, public housing developments, or apartments with large concentrations of welfare families -- any place where they can be in daily contact. There is nothing better for the operation of a viable service program than face-to-face contact.

I also believe -- this is, I am sure, one of the most controversial issues -- that there is no single professional preparation for people to work in this field and that people can be trained and/or experienced in a variety of ways that make them competent to work with the problems of other people. We ought to open up our bureaucracies and organizations to the point where we can recognize that somebody has competence and judge him by the way he is able to perform rather than by the particular academic preparation that he has had. I have a very high estimate in my mind of what non-professionals can do. I've seen them operate quite successfully in very complex situations where they themselves had what it took. I would not romanticize that in the sense of saying that every non-professional -- every poor person -- knows best. That isn't true. It isn't anywhere close to true. But there are such people, and again my plea would be for an openness of system that permits them to move according to their aptitudes.

I am also opposed to fragmenting and segmenting our service programs into narrow spectrums -- such as keeping the service for a child who is eligible for child welfare separate from a child who is eligible for AFDC care or keeping a child separate from his family or a young child separate from an older child -- and all the other things we do to carve people and families up into little pieces when we treat them. I don't like the distinctions that we find in the law between juvenile delinquents and PINS and neglected children. At least, when it comes to dealing with them in a therapeutic sense, I find more overlap than I do distinctions among these individuals. So I would like to see a service system evolve that is basically family based -- family and community based -- because of this need to use groups of people to reinforce other groups of people and to try to involve them with one another.

I would like to see the distinctions that we now have, because of economic circumstance, disappear. That can't happen right away, or all we will do -- as we have done so often in the past -- is to neglect the low-income people. The objective should be a system that serves all people, all families. I believe that programmatically, and my belief is reemphasized by what I consider the political necessity of striving for that goal. If we don't, for example, provide some day care for non welfare families, we will never get the support that we need for day care generally in the city. Both are programmatically and politically necessary. On the other hand, every dollar that the City invests in a higher income family will cost us $7.00 in terms of what we could spend for a low-income family. So we do these things for a price and we just have to recognize that dilemma and decide how far we ought to go.

I believe that, given the composition of the population in the City of New York, we have to do some extraordinary things to develop both technical skills and leadership among the Black, Puerto Rican, Dominican, Haitian, Chinese, and dozens of other minority groups. In that process, it is going to be necessary perhaps to offer special advantages -- special advantages in the way of training, special waivers of experience and training, plus some way -- at an accelerated pace -- to develop a representative distribution of leadership in the Black and Puerto Rican and other minority communities in the city. Part of the obligation of the Human Resources Administration is to try to emphasize that point of view -- to open up the civil service exams, to open up our promotional procedures within the civil service so that this can take place much faster than it would ordinarily take place.

I believe that our general social service system will take shape in a three-tier approach. The first tier would be an information and referral activity available in the city to anybody who needs help. We have all the authority in the world we need to do that right now. We have 87% matching to do that right now. I see no reason why there shouldn't be a kiosk on every fourth corner for people who need to know, "What do I do about a sick child?" "What do I do about the fights I am having with my husband?" "What do I do about getting my kid into school" I can't get him into the right school," and the whole range of things that people need to know to operate effectively in the city.

The second tier is a group of people who are basically community social workers who know how to work with individuals in dealing with problems that they have -- not at a depth level, because I think that the main function of the community social worker will be to act as the catalyst for the organization of groups, a catalyst for the organization of programs, so that you can use people to help one another and do things on a multiple basis. What does that mean? It means that he will service families through arranging group counseling, consumer education programs, family planning, and all the other services that you can possibly convert into a group approach as distinct from an individual approach. It is also, as I see it, the responsibility of this community social worker to provide for leadership in identifying what needs to be done in that community -- to work with community organizations to help them sort out their own concepts of what they feel are important -- and to be very much a resource person to that community organization.

The third tier is the whole range of particular services that have to be provided in some depth and that have to be provided in an institutional or organized form. These can be preschool programs, after-school day care, foster homes, the institutional care of children -- you can run the list extensively.

How do these tiers -- the information and referral service, the community social service, and the specialized service -- relate to one another? My feeling is that the information and the referral service could be operated either on a publicly administered basis -- that is, by city employees -- or by contracting with various other groups providing service. I think it is heavily non-professional in terms of staffing but with some degree of professional supervision and with much of that professional supervision coming from people who are organizers of information and are good at expediting and processing and getting things moving. I think that the function of information and referral is not to hand out a piece of paper and say, "Now this is where you go." It is to make sure that there will be somebody there when the individual gets there: that if he doesn't get the kind of treatment for which he was sent, there will be a follow-up, or in some cases, simply taking them there and making sure that the service is provided .... so information and referral is not just sitting in that booth every fourth block handing out a piece of paper.

I am not sure whether the middle tier--the broadly based community social services -- should be public, private, or a combination of the two. As separation is achieved, we will have available several thousand people who have been working as social workers and case workers in the department. Some of them have been trained to provide services; some of them have not really been trained; most have not had enough time to provide services. The most logical kind of placement, which does involve extensive training and retraining, is in this community social worker context.

For the third tier -- specialized services -- I lean very heavily toward the use of voluntary agencies, but in a broader context than that in which we have been accustomed to thinking, particularly to include the community-based organizations that have grown up over the last few years and that should be used even more extensively in the years ahead. I think they should be encouraged to cover a wide variety of services and should be tied as closely as possible to particular communities.

At the same time, there will always be some kinds of services that will have to be provided on a citywide basis, because they simply cannot be provided in small neighborhoods, and/or, because of the people they serve, they can't begin to respond to all the needs on a community basis. I have used the example of the orthodox Jew in the middle of Bedford-Stuyvesant, where the community based organizations are not really suitable to, or compatible with, his needs, at least at this stage of history. You have to have some service programs that can reach him from a distance -- probably citywide. One of the ways that one might deal with this type of problem is to have some sort of vouchering system that would permit an individual who could not find acceptable service in his own community to go out and use his voucher in some other community, under some other sponsorship. I am intrigued by vouchering. I think it is a very difficult thing to bring about in any successful fashion, and I am not at all convinced yet that it can be done, but I think that we ought to try and that we should do some experimenting with it.

I also think we should experiment with allowing the basic community social work function to be discharged by private organizations. Although my general approach would be to go public on that, I would like, at least for control purposes and for experimental purposes, to try it in some areas on the basis of voluntary organizations.

One final point is my belief that the quality of life in the city is directly related to our capacity to decentralize government. In our age and time it is not possible to govern the City of New York, or any large city, on a highly centralized basis. I don't hold a brief for any particular form of government decentralization, but I think clearly that that is the trend of the times and that we will, in one, two, five, or ten years, find ourselves moving steadily along that line.

As we do so, we will have to develop mechanisms for making decisions at the neighborhood or small community level. We will have to find ways in which the decisions can be made at the community level about whether one kind of service or another kind of service is to be provided. Personally, I am prepared to sacrifice a degree of central control to achieve that objective. If the people in Crown Heights ought to be able to make. There are some basic problems in this approach. First of all, who are the people in Crown Heights? How do you know what their point of view is? How do you get a process that creates a representative body to make that kind of decision? We haven't been extraordinarily successful in the past five or six years in doing that. Nevertheless, I remain personally committed to the principle that it can be done and that our effort should be, not to destory that sort of effort, but to reinforce it, to develop better election procedures, to develop more interest in elections, and to develop preventive measures that keep community organizations from being dominated by the same group of people year after year by making a much broader segment of the community feel that it is really part of the action. That's going to be a very tough thing to do; but I think it can be done.

There is one other overriding consideration. In essence, I think, the capacity to carry out programs and the likelihood that these programs will be effective are heavily weighted by the general psychology of the people who live in the city. The mood of the moment is so filled with cynicism, with suspicion, with hostility, and with bitterness that no structural change and no change of program content really has much chance of succeeding unless we somehow find ways to reverse the feelings of people in New York about their city. that cuts across all levels. There is a problem for the business leadership in the community; there is a problem for the militant Puerto Rican leader; there is a problem for the average citizen; and there is a problem for the rest of the leadership in the city.

We have gone through a phase in the last few years -- certainly a necessary phase -- of being supercritical of our existing institutions. We've torn apart the hospital program. We've torn apart the welfare program. We've torn apart the educational program. It seems to me that the time is here when we have to find some ways to positively reinforce those programs, not by saying, "You are all good boys now and everything is fine" -- it isn't -- but by beginning to balance criticism with constructive help. That's happening to some degree at the community and neighborhood levels, where groups are beginning to tire of the process of just tearing things apart. We are beginning to realize that that can't do the job unless you move in behind this and construct some programs. In every phase of its operations, therefore, the Human Resources Administration will, wherever feasible, have to be supportive of our other public service programs, in education, in health, and so forth.

I think it is incumbent on the professional leadership of the community to look at this question themselves and to figure out how they too might be able to help to bring about this change in psychology. It seemes to me that if people think things are bad, it is almost a self-fulfilling prophecy. If people think there is going to be improvement, they've got a running start toward bringing about that improvement. It doesn't guarantee improvement, but it at least unblocks good things that have been prevented from happening.

One of the tragedies of the last few years has been the enormous amount of time that "good guys" have spent fighting one another. The in-fighting at the community level between the OEO and the other federal agencies, the in-fighting at the community level between school people and social workers, and so forth may have been and probably was -- necessary. I am simply saying that now is the time to reverse that tactic and to try to figure out ways to work constructively together.

CBA 6

Unit (b)

"Analyzing Proposals", "The Involvement of the Community in the Nursing Home: The Community Representative and the Patient". (Overview and Analysis).

Developed by the Theory/Practice Curriculum Project
Institute of Public Administration
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Medgar Evers College

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Analyzing Proposals

1. Introduction

This unit deals with how to analyze proposals, particularly those proposals seeking governmental funding. Specific forms and guidelines are usually issued by government agencies. Information is required in several well-defined areas. Both in preparing and in analyzing proposals, careful attention must be given to these specific requirements.

In the chart which follows, the major components and the contents of a proposal are identified and described. A proposal is discussed in terms of both the components presented in the chart, and the particular guidelines which apply to the proposal. In particular, note is taken where the objective of the proposal departs from the standard of "a precise, measurable outcome." Each discussion of a proposal is followed by a complete copy of the proposal as it was submitted along with the available guidelines. Reading each proposal discussion along with the proposal itself will help to illuminate how each major component was treated and developed.

THE MAJOR COMPONENTS OF A PROPOSAL[1]

Source: Mary Hall, Developing Skills in Proposal Writing, (Oregon: 1971) p. 55.

TOPIC	INFORMATION TO BE PROVIDED
Title Page	Title of project, name of applicant, name of agency submitted to, inclusive dates of proposed project, total budget request, signatures of authorized personnel approving submission of the proposal from the local agency.
Abstract	Summary of project objectives, procedures, evaluation and dissemination, usually 250 words in length.
Statement of the Problem	What needs to be done and why. Usually includes references to related research or previous projects which give evidence of the need for the project.
Objectives	The proposed outcomes of the project in clearly specified, measurable terms. Usually an objective is provided to meet each major need identified in the preceding section.
Procedures	How the objectives will be met. This section may begin with an overall design or approach for the project, then describes specific activities. It discusses how the population to be served will be selected, outlines management and administrative structure for the project and provides details on how much time will be needed to carry out the design. Procedures should accompany each objective.
Evaluation	Details the means by which the local agency and the funding source will know the project has accomplished its objectives. Indicates the type of evaluation information to be collected, how this will be analyzed, and gives a pattern for its dissemination and use. Evaluation criteria should be provided for each objective.
Dissemination	How the outcomes of the project will be shared with others. How the products or results of the program will be transmitted to the field for rapid use, thus maximizing the value of the program. Frequently this section also includes details on reports to be filed with the funding agency.
Facilities	Facilities required and how these will be provided. This section can also be used to explain any special equipment of facilities available to the local agency which will facilitate the project.
Personnel	How many and what categories of employees will be needed for the project. How these will be selected. Information should be provided on the background of key personnel to make evident the local agency's experience and general managerial or professional skill.
Budget	Cost of the project. How much will be required from the funding source and how much will be contributed by the local applicant. A budget is usually divided into categories such as personnel, equipment and materials, travel, physical plant, and indirect costs.

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[1] The format for this chart was used by Jack Crawford and Kathy Kielsmeier in their book *Proposal Writing*. However, the author has significantly modified it by stressing different proposal components.

CBA 6-TPU-b
Components 1 & 2

"The Involvement of the Community in the Nursing Home: The Community Representative and the Patient"

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~~The~~ Involvement of the Community in the Nursing Home: The Community Representative and the Patient

Title Page

The title page of this proposal is a standard form used by the Department of Health, Education and Welfare for all applicants seeking non-construction assistance. Standard information is requested, such as the applicant's name and address, dates of the proposed ~~x~~ project, the budget requested and the Congressional District in which the project will be headquartered.

While this proposal's title is descriptive of the project's objective and is suited to the funding source, it is too long.

Abstract

The abstract is written on a government form which requires that it be divided into sections on objectives, methodology, expected results and relationship to the over-all strategy or program emphasis of the agency from which assistance is requested. It should be noted that this differs somewhat from the suggestions for an abstract found in Hall, p. 64.

The objectives and methodology paragraphs both require improvement. Turning to the former first, having volunteers help meet many of the needs of nursing home patients is unclear since what the needs are and how they will be met are left to the reader's imagination. The fact that the language in this paragraph is awkward is a serious deficiency since this is the first part of the narrative that will be reviewed. Regarding the paragraph on methodology, while it appears to be more precise, what is unclear is the dichotomy between providing "direct services" and "resolving grievances."

Expected results are clearly delinited as is the proposal's relationship to the funding agency's priorities. The latter would have been improved had the applicant noted the specific source of the funding agency's priorities or directly quoted from them.

Statement of the Problem

The statement of need is clearly spelled out in the introductory subsection where the applicant indicates that nursing home patients have a negative view of institutionalization, infrequent visitors and little relationship with close relatives. At the same time, the proposal notes that the community outside of nursing homes knows very little about the operations of these facilities and that they are reluctant to become involved with them. The proposal makes impressive references to related research. For example, citations include scholarly papers presented to professional societies and government documents. Available statistical data is incorporated in the narrative.

Objectives

The basic objective of this project is to increase the involvement of the community with nursing homes and thereby benefit both nursing home patients and the community. More specifically, applicant proposes to "provide an opportunity to involve the community more effectively with nursing homes; ... end the isolation of these institutions from their communities; and ... serve the needs of residents in these facilities in ways not adequately provided for today."

The objectives cited do conform to the needs cited above. However, since they are rather general statements about proposed accomplishments, they more properly should be referred to as goals than objectives. The latter would be a percise measurable outcomes.

On Part 1, question 11 of the application form, the target population is indicated as 6,000 people residing in institutions in four target areas (question 12). However, there is a failure in the proposal to specify how this figure was determined and what numbers will be reached in each of the target areas.

Procedures

This section discusses how the applicant will meet the project's objectives. The applicant notes that the four target areas were chosen on the basis of existing staff, large membership and the fact that "inner-city" areas traditionally attract few volunteers.

Since volunteers play a significant part in this project, great attention is paid to their recruitment, training, coordination and supervision. Each of these components of the program is clearly discussed.

Nevertheless, there are four major problems with this section. The basic one is the inherent contradiction between providing services to patients and trying to correct problems in the nursing homes where volunteers are placed. If a nursing home owner finds that the volunteers are causing problems in his facility by calling attention to poor services, he will be reluctant to provide them with access.

The relationship between the volunveers and potential employees' unions must be clarified. Many of the activities that

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volunteers will carry out would normally be the function of a paid staff. This may cause some hostility with a local union and efforts should be built into the proposal to prevent this from occurring.

The target population of patients and institutions represent small percentages of both in the target cities. However, how they will be chosen is omitted.

Lastly, a time schedule is required so that the funding agency will know on a month-by-month basis the proposal's status. Since four cities are involved, it might even be wise to include separate schedules for each of them.

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Evaluation

The proposal observes that the project will be evaluated by an outside organization to determine whether or not the goals were met. In doing so the applicant hopes to be accountable to both the funding source and nursing home patients.

The evaluation will consist of two parts. The first is an examination of records relating to various parts of the program, including the needs of patients, services performed for them and the extent to which the project's volunteers are meeting the former. Part 2 will involve sampling participating nursing homes, their patients and volunteers to solicit the views of the project's success. In both cases the emphasis would be more on the outcome or product than the process.

The evaluation section lacks several components, including an indication of who will complete it (note that the budget lacks a line for this item) and how it will be disseminated. Also lacking is a control group of non-participants in this study against whom the project's results will be compared. The reader should be aware, however, that the latter would be extremely expensive.

Dissemination

The applicant does not directly indicate how the project's results will be disseminated. However, in various parts of the proposal, mention is made of using the mass media to discuss the project's purpose and that the applicant's activities in the nursing home reform field have "been

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well publicized in local and national newspapers and on radio and television."

On the basis of the latter, it is probably safe to assume that the project's results will be disseminated. However, the proposal would have been improved if more specific attention was paid to a conference, seminar and published reports as means of disseminating the results.

Facilities

The budget does not contain a line for facilities. The applicant plans on making use of existing space, both in its headquarters and local offices. No special equipment is required, although the applicant agrees to produce and maintain special forms indicating contact with the population to be served.

Personnel

The applicant has submitted the resumes of the project director and local project directors, all of whom are already on staff. The functions of the local project coordination and their qualifications and how they will be hired, require elaboration.

Budget

A major part of this application is a basic federal form requiring budget data. The completed form clearly indicates that the applicant is seeking funding under a specific section of the Older Americans Act (OAA). The budget is properly broken down into federal and non-federal shares. The applicant is putting up half of the funding, of which a $25,000 foundation grant has already been secured.

The budget should include more detailed information on the costs of supplies and travel. Also, the applicant should have listed such equipment as desks and typewriters as part of its contribution. Lastly, a letter from the supporting foundation should have been attached to this application.

CBA 6-TPU-b
Components 1 and 2

THE INVOLVEMENT OF THE COMMUNITY IN THE NURSING HOME: THE COMMUNITY REPRESENTATIVE AND THE PATIENT

OBJECTIVES AND NEED FOR ASSISTANCE

Introduction

Goals

Rationale for Government Assistance

APPROACH TO THE PROBLEM

Volunteers

I. Recruitment, Training, Coordination and Supervision
  A. Recruitment
  B. Training
  C. Coordination
  D. Supervision

II. Functions
  A. Assisting Patients
  B. Direct Services

III. Gaining Admission to Nursing Homes

STATE OF THE ART

EVALUATION

REASONS FOR [illegible] OPERATED PROGRAM

THE INVOLVEMENT OF THE COMMUNITY IN THE NURSING HOME: THE COMMUNITY REPRESENTATIVE AND THE PATIENT

OBJECTIVES AND NEED FOR ASSISTANCE

Introduction

More than one million people over age 65 live in nursing homes. o a significant extent, these people are forgotten Americans. As one ommentator succinctly remarked, nursing homes represent the quintessence f "out of sight, out of mind" thinking.

There is much evidence that most older people look upon nursing omes with fear and hostility. They regard their entry into a home as he beginning of their last residence before death. Their apprehensions re exacerbated by the fact that approximately one-third of them have no elatives, and half of them have no ongoing relationship with a close elative.[1] A study has shown that but 42 percent of the nursing home esidents in one state had weekly visitors.[2]

. "Nursing Home Performance as Related to Resident Traits, Ownership, ize, and Source of Payment," Leonard E. Gottesman, Ph.D., Philadelphia eriatric Center, presented to Annual Meeting of the American Public ealth Association, Mental Health Section, November 15, 1972.

. "A Study of Non-Profit Homes for the Elderly in the State of New ampshire," Levison Gerontological Policy Institute, The Florence eller Graduate School for Advanced Studies in Social Welfare, Brandeis niversity (May 1972).

Illness and age, accompanied by isolation from family, friends and familiar surroundings, have had results that are well known. The typical patient expires two years after becoming a resident of a nursing home.

With rare exceptions, the community outside of nursing homes knows very little about how they are operated. The extensive catalogue of patient needs, ranging from the physical and mental to the emotional and social, and the extent to which patients actually receive the care they require, are matters with which most of us show little continuous concern. Indeed, with few exceptions, there is a compelling reluctance to confront and attempt to deal with this "out of sight" matter. Most nursing home patients are old and hence, in a society that places a premium on youth and physical beauty, unattractive. In addition, we face our own fears of death and dying. Finally, there is the frequent feeling of guilt at least on the part of those who have placed or committed a relative or friend in a nursing home.

Goals

We believe that the present minimal involvement of the local community with neighborhood nursing institutions can be increased significantly and that bridging the gap between the community and nursing home residents would benefit both groups.

The basic goal of our proposal is to initiate a national program that will achieve each of these objectives: i.e., it will provide an opportunity to involve the community more effectively with nursing homes; it will end the isolation of these institutions from their communities;

and it will serve the needs of the residents of these facilities in ways not adequately provided for today. Several major results could follow: 111

1) The community representatives, consisting of community groups and individual volunteers, would enable nursing home residents to lead more fulfilling lives by taking care of many of their presently unmet needs.

2) The residents of nursing homes could begin to view themselves once again as part of the general community rather than as isolates.

3) The volunteers would achieve a greater understanding of the problems and needs of the institutionalized. This should increase their desire to work for needed changes on behalf of the elderly; for better financing of the institutions that service the elderly, for better enforcement of standards in those institutions and better ways to deal with the problem of institutionalization when it arises in the lives of their families and friends.

4) Communities would develop techniques for mobilizing volunteers to work on behalf of the elderly which could be applied beyond the limited area covered by this grant.

These results would be accomplished at a minimum cost because of the central concept of developing the use of volunteer workers. It should also be noted that government agencies that have so large a role in nursing home operations have not to date been concerned with involving the community in nursing homes. The use of community representatives, as discussed here, would help overcome this deficiency.

Rationale for Government Assistance

I. Federal funds are requested for this proposal because the heavy involvement of the Federal Government in all phases of nursing home operations gives it a large interest in assuring that patients receive the highest quality care that is possible. According to a recent report by the Subcommittee on Long-Term Care of the Special Committee on Aging of the United States Senate: "In 1973, about $2 out of every $3 in nursing home revenues came from ... public funds."[1] The entirely federally financed Medicare program contributed approximately $200 million in 1973, while the fifty percent federally financed Medicaid program paid out $2.1 billion.

Federal funds are spent by several government departments in more than 50 programs affecting nursing homes. These include insuring of loans for the construction of nursing homes by the Department of Housing and Urban Development, the commodities program operated by the Department of Agriculture, and such HEW activities as the training of nursing home personnel, providing funds for the construction of homes and the research projects undertaken under the auspices of the Administration on Aging.

II. The Federal Government has a detailed code of regulations governing nursing institutions. This ranges from dietary matters to building construction; from medical care to social programs. Experience shows that it is difficult to enforce these regulations in thousands of homes through periodic visits by a usually understaffed corps of government inspectors. The service of community representatives in the homes would make possible continuous monitoring of how well the regulations work and whether there is need of either revision or better enforcement.

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[1] Senate Subcommittee on Long-Term Care, "Nursing Home Care in the United States: Failure in Public Policy" (Washington: U. S. Government Printing Office, November, 1974), p. 25.

APPROACH TO THE PROBLEM

will become involved with proprietary nursing institutions through its regional offices and its local chapters.[1] The program will initially concentrate on New York, Chicago, Philadelphia and Miami because these areas have our largest membership, major interest in nursing home reform, experienced staff and are "inner city" areas that traditionally attract the lowest number of volunteers.[2] Under the supervision of the national office, the regional offices in the four target communities will develop a corps of skilled volunteers, train them in providing services to residents of proprietary nursing institutions and establish the necessary relationships with nursing home proprietors.

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[1] Regional offices are now maintained in four boroughs in New York City and in Westchester, Long Island (two counties), Newark, St. Louis, Los Angeles, Boston, Chicago, Detroit, Cleveland, Washington, D. C., Philadelphia, Miami and San Francisco. To date many of these offices are already involved in programs to focus attention upon the need to change current inadequacies in administration through the adoption of new legislation on a state, city and federal level and for more effective enforcement of existing laws and regulations.

[2] See, Harold Zepelin and Janet Stutzman, "Volunteer Support for the Institutionalized Elderly," Annual Meeting of the Gerontological Society, 1975, in which the fact that inner city homes attract the lowest numbers of volunteers is documented.

Volunteers

I. Recruitment, Training, Coordination and Supervision

A. Recruitment

The first objective of this program will be the building up of a corps of volunteers in the four target communities. We believe that the is in an especially favorable position to embark on such a program because it is a national organization (the third largest national community relations agency), with an activist membership enrolled in chapters and divisions in the four target areas.

Our recruitment campaign will not be restricted to our own membership; it will seek to reach all sections of the community. We will solicit participation by other community groups and individuals with which we are currently involved in many programs. These include churches, synagogues, fraternal organizations, colleges, scouts, Y's, civil rights organizations and women's groups, to mention just a few. Our local chapters will serve as catalysts to organize the participation of these groups.

In each community, an unpaid coordinator of volunteers will be appointed. This individual must be well known in the community and have some background in working with other organizations. He must also possess the time and verbal skills necessary to communicate with a great number of other organizations.

Some of the methods that will be used to solicit volunteer help are the following:

1. Contacting groups and organizations -- Speakers will be sent to various groups and organizations to discuss the project and solicit the participation of volunteers.

2. Use of a send-off meeting -- Key people in the community may be contacted and requested to sponsor a luncheon meeting or a tea to explain the project. These people will be asked to enlist the support of their colleagues and friends.

3. Mass media -- Press, radio and television will be used to discuss the project's purposes and the need for volunteers. Neighborhood newspapers are expected to be an important source of recruitment.

4. The individual approach -- People with special skills, such as instructors in arts and crafts, will be contacted on an individual basis.

In addressing various groups and individuals, literature will be distributed, including special feature articles, picture stories and news releases. In addition, permission will be requested of the organization addressed to provide for the distribution of literature at follow up meetings.

The mere interest in undertaking volunteer work is not enough to make the potential volunteer acceptable to the program. In an interview, the volunteer coordinator and the local project coordinator will be responsible for determining why a person wants to engage in volunteer work, how he feels about nursing homes and what sort of services he can perform.

At the time of the selection interview, the orientation and training requirements and the time required will be explained to the volunteer. Indeed, as volunteers will not be finally selected until completion of the orientation and training course, the latter becomes a part of the screening process.

In each city, the volunteer coordinator and the local project coordinator must determine the number of volunteers required, the physical demands of the job and the volunteer's personal qualifications. The volunteer coordinator will naturally work closely with both the local project coordinator and the over-all project director.

B. Training

Each volunteer has a right to expect that he will be provided with adequate training for his job. This will better enable him to understand and carry out his own responsibilities in meeting the program's goals. The training sessions are directed at making the volunteer able to determine and satisfy the patient's needs, as well as the problems that may be encountered in doing so.

The training program will consist of at least six sessions and will be coordinated by the national project director and the local regional director. In each of the four target cities we have established relationships with Federally funded ombudsman programs, legal services for the aging and area agencies on aging. These have agreed to assist us in training volunteers (see Appendix A).

Our experience in training volunteers (see Appendix B, training schedule for program at Nursing Home), indicates the need for a broadened training program. Each training program will be expected to include at least the following subjects:[1]

a. The history of the volunteer movement in the United States

b. The contemporary work of volunteers.

c. The demography and problems of older persons.

d. Existing community resources and relationship to program.

e. Volunteer-patient relations: protecting the patient's confidences; planning visits with specific purposes or goals; and, encouraging the patient to handle those problems which he is able to. Also, the volunteer should not seek to serve too many patients and must understand that patients will have widely differing personalities.

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[1] Throughout the training program, the volunteer will be provided with relevant reading materials. This will include articles, case studies, government regulations and government reports on nursing facilities.

f. The health care system.

g. Problems of nursing home patients and program purposes.

h. Administering a skilled nursing facility.

i. Federal and local regulations governing skilled nursing facilities.

j. Services provided by skilled nursing facilities.

k. Informal supports for nursing home patients.

l. Medical care and the geriatric patient.

m. Nursing care and the geriatric patient.

n. Recreational, occupational and physical therapy in the nursing home.

o. Frequent problems in nursing home care.

p. Services that can be provided by volunteers.

q. Lines of authority within the nursing home.

Following the training program, the volunteer will be provided with an opportunity for participation in a continuing type of in-service training. This will be further discussed in the section on supervision. Suffice it to note here that opportunities will be provided for periodic get-togethers among volunteers in order to discuss both problems and accomplishments.

For the purpose of the training program, we anticipate the preparation of several documents that will also be of use to the general community. These include a listing of community facilities that can be of help to the elderly[1] and a compilation of official reports on the individual nursing homes in the area. We would also prepare a manual, which could be of use in similar undertakings in other areas, on the recruitment and training of volunteers.

C. Coordination

In carrying out this program, we are strongly emphasizing coordination with other relevant public and private agencies. We have determined that many of these groups will be able to assist us in attracting volunteers and providing us with services that will make our volunteers better qualified to carry out their responsibilities as well as provide for an exchange of ideas with other groups.

There are essentially two major types of services that we can expect from other government funded programs: training and technical assistance.[2] Regarding the training of volunteers, we have worked out agreements with the government funded programs cited below to provide us with training assistance in such areas as the rights of patients in nursing homes and a general review of federal, state and local (where applicable) regulations covering these institutions. The objective here will be to make the volunteer familiar with applicable regulations as well as inform them where to go to find the answers to questions with which they are unfamiliar. In addition, this training will seek to have the volunteer become familiar with the most common types of violations that are found in nursing homes and help him understand whose responsibility it is to correct them.

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[1] We have prepared such a document for New York City, Miami and Chicago. See, Appendix C for New York and Chicago Directories.

[2] The training program was discussed in the last section.

Training will not be terminated once the initial sessions have been held. Follow up sessions will be conducted in order to determine whether or not volunteers are finding any problems that they are unable to resolve. There is also the need for follow up because some of the law is now in a state of change and will very likely undergo additional changes in the immediate future.

This program will also call upon other government funded programs for continued technical assistance in the resolution of any local problems that may arise. These may include, for example, questions of benefits to which the patient is entitled, problems of access to homes and what course of action to take where a patient may feel that his or her legal rights are being violated.

The following government funded programs have been contacted and are willing and able to provide us with technical and training assistance (see Appendix A):

1. Chicago

A. Nursing Home Ombudsman Program
Illinois Department on Aging
2401 West Jefferson Street
Springfield, Illinois 62706

B. National Senior Citizens Law Center
Suite 600
1709 West Eighth Street
Los Angeles, California 90017

C. Department of Program Development
Mayor's Office for Senior Citizens
330 South Wells
Chicago, Illinois 60606

2. Miami

A. Nursing Home Ombudsman Program
Department of Health and
Rehabilitative Services
1323 Winewood Boulevard
Room 425
Tallahassee, Florida 32301

B. Legal Research and Services
for the Elderly
National Council of Senior Citizens
1511 K Street, N.W.
Washington, D. C. 20005

C. United Fund of Dade County
Division of Aging
955 S. W. 2nd Avenue
Miami, Florida 33130

3. New York

A. New York State Office on Aging
855 Central Avenue
Albany, New York 12208

B. Legal Services for the
Elderly Poor
Presbyterian Senior Services
2095 Broadway
New York, New York 10023

C. Area Agency on Aging
c/o New York City Department
for the Aging
250 Broadway
New York, New York 10007

4. Philadelphia

A. Pennsylvania Nursing Home
Ombudsman Project
133 South 36th Street
Room 501
Philadelphia, Pennsylvania 19104

B. Legal Research and Services
for the Elderly
National Council of Senior Citizens
1511 K Street, N. W.
Washington, D. C. 20005

C. Corporation for Ageing
1317 Filbert Street
Philadelphia, Pennsylvania 19107

D. Supervision

In order for this program to be successful, volunteers must be properly supervised. On a local level, the program coordinator, who reports to the regional director, will be directly responsible for training and supervising volunteers. The regional director will be responsible for all phases of the program's operations in his area, including establishing and maintaining liaison with other organizations, record keeping and financial reports. The national project director, in turn, will report to the Executive Director of the .

On a local level, the volunteers will report to the program coordinator who will work closely with the volunteer coordinator. At least once every two months, volunteers will meet with the volunteer coordinator and program coordinator in order to discuss progress that has been made, as well as problems that have been encountered. At this meeting, a review will be undertaken of the "Report of Client Contact" forms filled out by the volunteers and maintained in the local office (see Appendix D). These discussions will be held on a group basis, although individual conferences may be held at the specific request of the volunteer or the volunteer coordinator or project coordinator.

During these bi-monthly meetings, it will be the responsibility of the program coordinator to determine the satisfaction of volunteers with their placement. In addition, the program coordinator will also be expected to visit with volunteers on their assignments. As a result of these techniques, it is hoped that the program coordinator will be able to be better acquainted with the volunteers' activities and whether or not they are contributing to meeting the over-all program goals.

It is anticipated that some volunteers will ask to be transferred from one assignment to another, while others will drop out of the program entirely. We anticipate minimizing this by the use of the orientation interview, "Volunteer Personnel Form" and training program (see Appendix E). Where volunteers wish to transfer from one home to another, they will be expected to provide a legitimate reason for doing so.

Once every two months, the program coordinator will be responsible for meeting with the administrators of the nursing home in which volunteers are placed. At these meetings, he will solicit their candid impressions regarding the usefulness of the program and ways that it may be improved.

As part of the supervision, the program coordinator will be responsible for conducting periodic in-service training programs. These will be concerned with the application of new laws and regulations, as well as familiarizing the volunteer with how particular problems were handled by other volunteers.

II. Functions

The work of the volunteers would have two basic aspects -- assisting the patients with respect to any complaints they may have about the homes they are in and providing them with direct services.

A. Assisting Patients

A formidable shortcoming of institutional life is the feeling that there is no one who is prepared to listen to complaints about services and to take necessary action. Whether the complaints are real or imaginary, there should at least be a mechanism by which they are heard. Primary responsibility for this, of course, rests with the home and the resident's relatives.[1] However, the community representative can play a supportive and, in some cases, an indispensable part in this process.

Accordingly, community representatives will be instructed that they have the responsibility of listening to a resident's complaints, verifying them, taking them up with the appropriate persons and seeking to resolve them. In many cases, the latter will mean no more than bringing complaints to the attention of an orderly, nurse or administrator, with appropriate diplomacy and tact. In some cases, it may be necessary to bring deficiencies to the attention of government officials; for example, hazardous conditions which the nursing home officials have failed to correct. The community representatives will be told that, before undertaking such action, the matter must be brought to the attention of the local project coordinator. In doubtful situations, the project coordinator will consult with the regional director and the national project director.

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[1] As noted on page 1, a substantial percentage of nursing home residents do not have regular contact with relatives.

In order to fulfill this function, the community representatives will be given instruction on what laws, regulations and codes apply to nursing homes, and they will receive training in how to obtain advice on the regulations applicable to a particular subject matter. (Since the laws are complex, the volunteer will not be expected to have them at his fingertips.) They will also be instructed on record keeping and on the need to maintain contact with the complainant.

The advantages of having this operation available in nursing homes are obvious. For example:

1. Existing mechanisms for resolving grievances of patients are inadequate. Often, the patient or even his doctor does not know whom to contact regarding problems encountered. The community representative would have that information or know where to get it.

2. The community representative can act on individual complaints with dispatch and often achieve quick results, without any cost to the resident.

3. The community representative can contribute to humanizing the regulatory bureaucracy.

4. A community representative system would supplement government regulatory efforts and ombudsman program by bringing to the attention of public officials (or the ombudsman in the community) abuses of which they are unaware.

B. Direct Services

Two of the major shortcomings of life in a nursing home are the lack of contact with people from the outside world and the limited amount of enrichment directly supplied by the home. These shortcomings could be reduced by the following activities:

1. Visiting the residents individually, particularly those who receive few visits from friends and relatives, and not only talking with them but also listening to them.

2. Regularly conducting such social events as birthday parties, the showing of films, readings from current books, conducting group games, songfests, musicals, etc.

3. Organizing special cultural events, using the services of civic agencies in the communities. Churches, synagogues, Y's and public and private schools which produce plays and other forms of entertainment will be asked to schedule performances in the nursing homes in their communities. Programs on the bicentennial are especially relevant today.

4. Organizing expeditions outside the home, such as a day in the park or bus trips to places of interest. Residents in most nursing homes

have very little opportunity to leave the premises and they would regard any kind of a trip as a worthwhile change of scenery.

5. Organization of information and discussion programs concerning not only national news but also local events. This would give residents a feeling that they are still part of their community.

6. Insuring a good supply of magazines and other reading material, plus radios where requested. (Chapters and Divisions [illegible] would be pleased to contribute such items.)

7. Assisting residents in letter writing and phone calls to friends and relatives.

III. Gaining Admission to Nursing Homes

The proposed program must take into consideration the fact that neither the individual volunteer nor any civic organization has a right[1] of access to either the home or its residents. Hence, the program can operate in a particular home only with the cooperation of its owner and/or administrator.

We believe that a number of considerations will tend to bring about cooperation by many and perhaps most proprietors.

1. The program will emphasize that the services being offered will benefit not only the residents but also the nursing home. Without adding to the owner's costs, the program will effectively increase the sum total of what the home makes available to its patients.

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[1] In 1975, New York State adopted legislation that entitles patients to privately communicate with any person.

2. The recent wave of negative publicity about proprietary nursing homes gives the nursing home owner a strong incentive to establish favorable relationships with the community in which it operates. Particularly in the case of the many nursing homes that are genuinely endeavoring to do a proper job, contact with the community will establish their good faith and their value to the community.

3. Individual owners may be encouraged to cooperate in the program if it is given the support of the American Nursing Home Association and/or such local groups as the Metropolitan New York Nursing Home Association. The latter has already granted us access to many New York City nursing homes.

4. The fact that the program was federally funded would undoubtedly carry weight with nursing home officials. In addition, support can be expected from state and local government officials in view of the increased concern with this area.

STATE OF THE ART

We have examined the extensive literature on the demography and problems of older persons and have found nothing to suggest that this project would be superfluous or duplicative. A review of the Social and Rehabilitation Service publication, Research Information System, reveals many studies dealing with such aspects of the needs of older persons as nutrition, retirement planning, public transportation and vocational education. Moreover, there are numerous listings in the SRS volume, as well as in other journals related to the aging, on such general topics as geriatrics, health care and chronic illness. However, none of these studies focuses on a program that contains elements designed to both provide services to the residents of nursing homes as well as help resolve their grievances.

In conjunction with the Nursing Home, we have implemented on a pilot basis the program discussed in this proposal. Within the last year, fifty volunteers went through a series of six training sessions (see Training Schedule, Appendix B) designed to familiarize them with the operation of nursing facilities and the services they could provide. Each session was conducted by a trained professional and upon completion of the course, participants were awarded certificates.

Feedback from several nursing homes and those who completed the training indicate that the volunteers are in great demand. They are now placed in homes in the Nassau-Suffolk area where they are helping to upgrade the lives of the patients with whom they meet on a regular basis.

There are two basic advantages to having operated this pilot project. This pre-testing of our program enables us to conclude that it is applicable on a larger scale and can be useful in attracting volunteers who are not [illegible] members. In addition, the feedback from program participants has taught us to modify our program in at least one direction. For example, as a result of the pre-test we are now aware of the need to send several volunteers into an institution at the same time so that they may be able to provide support for one another.

EVALUATION

This project will be evaluated by an outside organization that will focus on the extent to which the goals described above were met by the project.

The method of this evaluation will have two interrelated parts: an examination of records and sampling.

A. Examination of Records

The regional director in each region will be responsible for maintaining records on this program. These will consist of client contact forms (see Appendix D) completed by each volunteer on a bi-weekly basis that will record data on the nature of the services performed for residents, the needs of patients (including their complaints), the extent to which the volunteers are meeting these needs and an overview of the individual institution's operations. This information will be collected and collated by the program coordinator. He will note the extent to which similar problems appear in different homes and compare the manner in which they are dealt with. In addition to serving as a basis for evaluation, this data could be used in the preparation of a handbook on problems encountered by nursing home residents and the best means of resolving them.

B. Sampling

The evaluators will also be expected to study a sample of the participating nursing homes and volunteers. These, in turn, will be contacted for follow-up surveys and interviews. This aspect of the evaluation will consider the views of the successes and problems as seen by the volunteers, nursing home administrators and participating nursing home residents. In both cases an analysis of the results will be done in terms of time spent on problems and cost required to resolve them.

An evaluation of the nature discussed will obviously not be entirely limited to quantifiable data. It will, for example, include meetings at which public and private officials concerned with nursing home care were in attendance and were informed of problems and worked to resolve them. There are many groups which would be contacted in this undertaking, including consumer organizations, colleges, schools of social work, nursing home associations and elected and appointed public officials.

REASON FOR -OPERATED PROGRAM

We submit that the is well suited to operate the program described above and that its sponsorship will provide several distinct advantages:

1. In a time of grave concern over the expenditure of public funds, a program which operates to a significant extent with volunteers and 50 per cent matching funds will provide substantial financial savings to the government. We estimate that this program would cost less than one-third of one directly operated by the government.

2. [redacted] has a long standing reputation as an action organization. By involving our organization with its 50,000 activist members and other citizen groups we will build a group of dedicated volunteers who are basically interested in making a contribution to improving the life of nursing home patients. We need hardly point out that the qualities of dedication and service are fundamental to an undertaking of this kind which depends on unpaid service.

3. In order for this program to succeed it must have the confidence of public and private groups. Over the last two years, [redacted] involvement in nursing home reform has been well publicized in local and national newspapers and on radio and television. We have testified before numerous Congressional, state and local committees concerned with improved nursing home care. An operated program will be certain to have excellent public relations and, most significantly, public confidence.[1]

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[1] See Appendix F for several news reports on our involvement in seeking nursing home reform.

Appendix A	Letters coordinating with other programs
Appendix B	Training Schedule
Appendix C	Directory of Aids, Facilities and Services
Appendix D	Report of Client Contact
Appendix E	Volunteer Personnel Form
Appendix F	News Reports
Appendix G	Nursing Home Publications

CBA 6

Expanded Reading List

1. "Analyzing Proposals." Theory/Practice Curriculum Project. Medgar Evers College Brooklyn, New York, 1977 (offset 165 pages). (Selected proposals and specific sections of proposals ((statement of need, objectives personnel and budget, etc.)) for Federally-supported programs and projects and Federal guidelines ((and statutes)) for use in preparing the proposals; and (Explanatory comment linking key elements of the proposals to 1) relevant federal guidelines and 2) the conceptual model items utilized at p. 55 of Hall.)

2. Carter, Novia with Brian Wharf, Evaluating Social Development Programs, Canadian Council on Social Development, Ottawa, 1973.

3. Council Against Poverty, Program Year F: Versatile Program Guidelines, New York, April, 1970.

4. Crawford, Jack and Cathy Kielsmeier. Proposal Writing, Oregon: 1970.

5. Grantee Program Progress Review, Office of Economic Opportunity, Washington, D.C., August 10, 1972.

6. Kiritz, Norton J. "Program Planning and Proposal Writing," The Grantsmanship Center News, 1015 W. Olympic Blvd., Los Angeles, California.

7. Price, Bruce D. "In Praise of Stark Lucidity." Princeton Alumni Weekly (March 14, 1977), pp. 12-14.

8. Proposal Development Handbook, American Association of State Colleges and Universities, Washington, D.C., 1975.

9. Rutgers - The State University Assessment of Reap - Upward Bound, Rutgers Educational Action Programs, New Brunswick, New Jersey, Dec., 1967.

10. Social Services in 1974, Annual Report, New York State Department of Social Services.

11. Weiss, Carol H., Evaluation Research: Methods for Assessing Program Effectiveness, Prentice-Hall, Englewood Cliffs, New Jersey, 1972.

** Capacities for a Theory/Practice Curriculum Model

1. Is sensitive to his/her own values and to those of others; and to how these values relate to their actions and views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service, as well as a range of behavior which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency responsibilities and actions are incongruous or consistent with these criteria.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsiblities and engages in an on-going critique of one's own products and performance.

9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilties influence what constitutes an appropriate response to a problem issue or situation. *

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* Capacity 9 was developed in June, 1977.

** See following page for Revised Draft System of Capacitites for complete description.

Revised Capacities System for the Theory/Practice Curriculum Model

1. Can articulate and is aware of own values and those of others and to how these values relate to one's own and others' views on public policies and programs.

2. Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

3. Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defined judgments on whether one's agency resonsibilities and actions are incongruous or consistent with these criteria.

*3a. Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

4. Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

5. Analyzes and organizes ideas and issues relating to public agency systems, issues programs and practices, and presents them with clarity and precision.

**5a. Is able to express simple and only moderately complex ideas, practices situations, conclusions, etc. using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

**5b. Recognizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

6. Is aware of the nature and purposes of theory, its relation to informed practice, and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

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* Drafted after 1977-1978 pilotings. The original Capacity 3 relates to student development of a sense of purpose involving a system of ethics and goals grounded in democratic theory. The newer capacity, 3a, relates to student development of a more generalized sense of purpose and the importance of "purpose" or goals to all phases of public agency management.

** Drafted after 1977-1978 pilotings. Although Capacities 5a and 5b may be viewed as implicit in Capacity 5 itself (as well as several other Capacities), it is, nonetheless, essential to explicitly recognize the importance of being able to write grammatical, professional prose and recognize nuances of professional language. If these Capacities are not made explicit, it is possible that their development will be taken for granted.

7. Is aware of the short and long-range implications and consequences of one's own actions and the actions of others.

8. Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an ongoing critique of one's own products and performance.

*9. Is able to perceive a variety of roles within a public agency setting, to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem issue or situation.

* Drafted in June 1977.

The CBA/Capacity Grid

The following chart delineates which of the Capacities are developed in the theory/practice units (TPUs) of this CBA. In overall organization, the chart is arranged by TPU. For each TPU, the chart contains three (3) columns. The first column labelled "Capacity" identifies the number of each Capacity developed in the TPU and briefly describes the Capacity. (For a full description of each Capacity see "Revised Capacities System for the Theory/Practice Curriculum Model.")

The second column identified the Medgar Evers College piloting syllabus objective that corresponds to the TPU and the particular components in which a Capacity is developed. (For a full description of the objectives, see the Fall, 1978 Medgar Evers College piloting syllabus. For a description of each TPU's components, see the list of TPUs and their components.)

The third columngives at least one example of how a given Capacity is actually developed in the TPU. Examples may relate to teaching strategies, resources or assessments.

CBA/Capacity Grid

TPU (a)

Capacity	Syllabus Objective and TPU/Component	Comment
#1-values	Objective A/TPU (a), components 1 and 2	In examining social climate factors in the self-renewal of orgnaizations, the influence of conflicting community, social, and/or political values is discerned.
#2-value of flexibility... need for closure	Objective A/TPU (a), component 2	Students develop an understanding of the need for flexibility in connection with implementation of a particular federally-financed program at the local level.
#3-purpose grounded in democratic theory	Objective A/TPU (a), components 1 and 2	Through the Gardner reading and other instructional resources, an awareness is developed that the given social/political/administrative context may contain factors that aid or that may hinder a public administrator in maintaining a clear sense of purpose consistent with a given sense of ethics and grounded in democratic theory.
#3a-recognizes and pursues purpose	Objective A/TPU (a), components 1 and 2	Readings consider how various social/political/administrative contexts influence local agency implementation of a public program with a federally-mandated goal or purpose; consideration is given to the role of context in aiding the achievement of that purpose.
#5b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	In examining the legal mandates and authority for a public agency (e.g., the social service agency in New York State), students encounter the nuances of language found in relevant policy manuals and handbooks. The required reading "The Community and Decentralization" focusses on the subtle shadings of meaning inherent in the way different groups use the term "community."
#7-implications of actions	Objective A/TPU (a), component 2	Students examine the implications of various formal structures, informal

CBA/Capacity Grid (cont'd.)

Capacity	Syllabus Objective and TPU/Component	Comment
	TPU (a) cont'd.	structures, informal processes and division of responsibilities, on a public agency's ability to seize the opportunities presented by a new federally-funded program. Consideration is given to the way that past agency decisions regarding structure etc. may influence an agency's possible present course of action.
	TPU (b)	
#2-value of flexibility...need for closure	Objective B/TPU (b), components 1-3	Students develop an awareness that in drafting a proposal for federal support, administrators must be flexible and work within the constraints of federal mandates (even if there is tension between federal limits and local concerns). Need for closure is stressed; if the local agency misses the deadline, all the work is for naught.
#3a-recognizes and pursues purpose	Objective B/TPU (b), components 1-3	Analysis of components of a proposal is geared to relating proposal drafting to the purpose of a given proposal; critiquing and actually drafting proposal components, give students practice in making realistically-defended judgments in this area.
#4-organizes work	Objective B/TPU (b), components 1-3	An in-semester evaluation instrument assesses whether students can organize a proposal abstract including title, statement of the problem, objectives, procedures, and dissemination selections. Students prepare and revise several drafts of this abstract.
#5a-expresses ideas in professional language	Objective B/TPU (b), components 1-3	In writing the proposal abstract. students develop the ability to draft succinct and lucid statements of problems, objectives, procedures and a delineation of dissemination procedures.

CBA/Capacity Grid (cont'd.)

TPU (b), cont'd.

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective B/TPU (b), components 1-3	This unit puts stress on the need for internal consistency among the various components of a proposal.
#6-theory and its relation to informed practice	Objective B/TPU (b), components 1-3	Students read Hall's Developing Skills in Proposal Writing which gives the theory of writing an effective proposal; later, students write their own proposal abstracts and encounter many practical, situational problems not necessarily explored in a theoretical summary.
#7-implications of actions	Objective B/TPU (b), components 1-3	Students develop an awareness that they might not get funded if they draft a proposal that is not in line with the funding agency's goal (as stated in the project's in-semester evaluation).
#8-recognizes one's own strengths and weaknesses	Objective B/TPU (b), components 1-3	Criteria for writing an effective abstract are shared with the class. Students write successive drafts of the abstracts which are critiqued by peers in the class. Since the criteria are available to all the students, an attitude of informed criticism is encouraged. Students revise their own drafts based on peer critique.
	TPU (c)	
#2-value of flexibility...need for closure	Objective C/TPU (c), components 1 and 2	Students develop an awareness that the evaluator must be flexible in translating evaluation theory into a practial design that is applicable to a given agency situation.
#3a-recognizes and pursues purpose	Objective C/TPU (c), components 1 and 2	Students develop an awareness that there is an inherent tension between the methodology that is appropriate for the social researcher and the methodology that is optimal for the program evaluator; this tension emerges from the different purposes inherent in the two roles.

CBA/Capacity Grid (cont'd.)

TPU (c), cont'd.

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Nuances of language pertaining to the evaluation process are explored. Students are assessed on ability to identify such terms as data source, cost-analytic techniques, etc.
#6-theory and its relation to informed practice	Objective C/TPU (c), components 1 and 2	Students develop an awareness of how social research theory is modified for purposes of program evaluation. Then students learn how the applied program evaluation theory is modified in additional ways during an actual evaluation.
#7-implications of actions	Objective C/TPU (c), components 1 and 2	Students explore how selection of alternative evaluation techniques has consequences for the entire evaluation process.
#9-roles...their relation to appropriate responses	Objective C/TPU (c), components 1 and 2	The role of the evaluator is studied in relation to the role of the program director, the social researcher, the policy makeretc. Distinguishing role characteristics and their implications are noted.

Capacities Draft Taxonomy

The following charts delineate the development of all of the project's Capacities in the four CBAs piloted during the 1977-1978 academic year. There is a separate chart for each Capacity. Each chart delineates how a given Capacity (e.g., Capacity #1, Capacity #2, etc.) is developed in CBAs 2,3,4 and/or 6. Each Capacity is developed in at least two of the CBAs. Most are developed in three or four CBAs. In the charts, CBAs are identified by number and a short, identifying phrase. Full CBA titles can be found in the relevant learning package.

Each chart has three columns. The first column, labelled "Capacity", identifies the number of the Capacity with which the particular chart deals. The second column identifies each Medgar Evers College syllabus objective and the corresponding theory/practice unit (TPU) and components in which the Capacity is developed.

The third column gives at least one example of how the particular Capacity is actually developed in each listed TPU. Examples may relate to learning strategies, instructional resources, and assessments.

Capacities Draft Taxonomy

CAPACITY - 1: Can articulate and is aware of own values and those of others and how these values relate to one's own and others' views on public policies and programs.

CBA 2: Implementing Statutory Programs and Policies, I

Capacity	Syllabus Objective and TPU/Component	Comment
#1-values	Objective A/TPU (a), components 1 and 2	Component 1: In examining the background to and evolution of a statute such as ESEA, students become aware of how diverse perspectives reflecting a wide range of values influence actors' conceptions of the need for and best scope of proposed new programs. Component 2: In selecting a program to advocate, choosing supporting data for this proposed federally-financed program, and in selecting a role for their advocacy, students become aware of their own values.
#1-values	Objective D/TPU (d), components 1 - 4	In examining issues relating to (for example) federal aid to religious schools or comprehensive reform of the welfare system. values implicit in many different positions may be discerned.

CBA 3: Communicating Public Agency Policies, Plans and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
#1-values	Objective B/TPU (b), components 1 and 2	Students learn to distinguish value statements from statements of fact in printed material.
#1 values	Objective C/TPU (c), components 1 and 2	On the pre/post, students listen to a speech on a public policy issue and then answers questions as to whether parts of the speech were appropriate for the given audience's values.

Capacity 1, cont'd.

CBA 4: Analyzing and Contributing to Personnel Relationships, Systems and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
#1-values	Objective C/TPU (c), component 2	Awareness of values, in the broadest sense, is inextricably bound with effective administrative leadership. Students probe: How do various types of supervisors view their subordinates? How does this influence their leadship capabilities? How do your own values and those of others affect the appropriateness of various accomodations and rewards which can be offered as part of the management of public programs? To what extent does the effectiveness of a reward or a leadship system depend on its congruency with the values of the public agency leader(s) and/or subordinate(s)?
#1-values	Objective D/TPU (d), components 1 and 2	Very important unit in developing awareness of values and how they influence public policies and programs. Democratic interaction and community participation in decision-making activities are discussed. Subsequently, students augment job descriptions (adding responsibilities and qualifications) that take into account these concepts. Students are assessed on their ability to augment a job description for a community worker whose overall responsibility is to assist a region in Puerto Rico to develop its capacity for thought and expression, democratic leadership/participation processes and self-help projects. As part of the pre/post test students also augment a description for a fire captain.

CBA 6: Implementing Statutory Programs and Policies, Part II

#1-values	Objective A/TPU (a), components 1 and 2	In examining social climate factors in the self-renewal of orgnaizations, the influence of conflicting community, social, and/or political values is discerned.

CAPACITY -2: Recognizes the value of flexibility, the tolerance of ambiguity and the need for closure in public service and the public sector, as well as a range of behaviors which includes proactive and collaborative modes, and strives to develop and discriminate appropriately among them.

CBA 2: Implementing Statutory Programs and Policies, I

Capacity	Syllabus Objective and TPU/Component	Comment
#2-values of flexibility...need for closure	Objective D/TPU (d), components 1 and 2	The passage of ESEA, students learn, was only made possible because of the flexibility of the various individuals and groups involved.
#2-value of flexibility...need for closure	Objective B/TPU (b), components 1 and 2	In studying the governmental processes through which ESEA was enacted into law, students see the importance of flexibility on the part of executive branch, legislative, and interest group actors, in helping to formulate a bill that could actually become a law.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#2-value of flexibility.. need for closure	Objective D/TPU (d), component 2	As an in-semester exercise, students write an alternatives paper on a public policy-related issue. Students must show analytic flexibility if they are to examine each option in terms both of advantages and disadvantages. It is sometimes difficult for a student to examine disadvantages of an option they have just finished praising.

CBA 6: Implementing Statutory Programs and Policies, Part II

#2-value of flexibility... need for closure	Objective A/TPU (a), component 2	Students develop an understanding of the need for flexibility in connection with implementation of a particular federally-financed program at the local level.

Capacity 2 Cont'd

CBA 6: Implementing Statutory Programs and Policies, Part II

Capacity	Syllabus Objective and TPU/Component	Comment
#2-value of flexibility...need for closure	Objective B/TPU (b), components 1-3	Students develop an awareness that in drafting a proposal for federal support, administrators must be flexible and work within the constraints of federal mandates (even if there is tension between federal limits and local concerns). Need for closure is stressed; if the local agency misses the deadline, all the work is for naught.
#2-value of flexibility...need for closure	Objective C/TPU (c), components 1 and 2	Students develop an awareness that the evaluator must be flexible in translating evaluation theory into a practial design that is applicable to a given agency situation.

CAPACITY -3: Is able to maintain a clear sense of purpose, consistent with one's own view of public service ethics and goals grounded in democratic theory, and to make realistically-defended judgments on whether one's agency resposibilities and actions are incongruous or consistent with these criteria.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
#3-purpose grounded in democratic theory	Objective D/TPU (d), components 1 and 2	A central unit for developing this capacity. The agency's mission and program goals contain its purpose. If job responsibilities and qualifications are not designed with an eye towards the ethical and philosophical dimensions of the mission, then a displacement of goals is likely to follow. A variety of assignments develop student awareness that this is as true for "hard" agencies (e.g., fire) as "soft" ones (e.g., community development).

Capacity 3 Cont'd

CBA 6: Implementing Statutory Programs and Policies, Part II

Capacity	Syllabus Objective and TPU/Component	Comment
#3-purpose grounded in democratic theory	Objective A/TPU (a), components 1 and 2	Through the Gardner reading and other instructional resources, an awareness is developed that the given social/political/administrative context may contain factors that aid or that may hinder a public administrator in maintaining a clear sense of purpose consistent with a given sense of ethics and grounded in democratic theory.

CAPACITY -3a: Is able to recognize and pursue a clear sense of purpose in relation to public agency policies, practices and programs and to make realistically-defended judgments based on it.

CBA 2: Implementing Statutory Programs and Policies, I

Capacity	Syllabus Objective and TPU/Component	Comment
#3a-recognizes and pursues purpose	Objective C/TPU (c) components 2 and 4	Students learn to analyze selected statutes in terms of the broad public objectives of a newly-enacted program; students learn to identify program goals and objectives.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#3a-recognizes and pursues purpose	Objective C/TPU (c), components 1 and 2	Students analyze speeches on public issues in terms of their purpose; discussion stresses that the effective style and content varies according to the speaker's purpose.
#3a-recognizes and pursues purpose	Objective D/TPU (d), components 1 and 2	Students develop an awareness that writing effective presentations (e.g., memos, papers) is based on a congruency between the purpose of a given presentation and the style and content that the author uses.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

#3a-recognizes and pursues purpose	Objective D/TPU (d), components 1 and 2	Relates writing job descriptions to the purpose of the agency.

Capacity 3a Cont'd

CBA 6: Implementing Statutory Programs and Policies, Part II

Capacity	Syllabus Objective and TPU/Component	Comment
#3a-recognizes and pursues purpose	Objective A/TPU (a), components 1 and 2	Readings consider how various social/political/administrative contexts influence local agency implementation of a public program with a federally-mandated goal or purpose; consideration is given to the role of context in aiding the achievement of that purpose.
#3a-recognizes and pursues purpose	Objective B/TPU (b), components 1-3	Analysis of components of a proposal is geared to relating proposal drafting to the purpose of a given proposal; critiquing and actually drafting proposal components, give students practice in making realistically-defended judgments in this area.
#3a-recognizes and pursues purpose	Objective C/TPU (c), components 1 and 2	Students develop an awareness that there is an inherent tension between the methodology that is appropriate for the social researcher and the methodology that is optimal for the program evaluator; this tension emerges from the different purposes inherent in the two roles.

CAPACITY - 4: Organizes and completes work assignments relating to public agency systems, issues, programs and practices in a conscientious task-oriented way.

CBA 2: Implementing Statutory Programs and Policies, I

Capacity	Syllabus Objectives and TPU/Component	Comment
#4-organizes work	Objective A/TPU (a), component 2	Student organizes and completes drafts of an advocacy paper and then submits completed final draft.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#4-organizes work	Objective D/TPU (d), component 2	Early drafts of the alternatives paper are critiqued in class and revised.

Capacity 4, cont'd.

CBA 6: Implementing Statutory Programs and Policies, Part II

Capacity	Syllabus Objective and TPU/Component	Comment
04-organizes work	Objective B/TPU (b), components 1-3	An in-semester evaluation instrument assesses whether students can organize a proposal abstract including title, statement of the problem, objectives, procedures, and dissemination selections. Students prepare and revise several drafts of this abstract.

CAPACITY - 5: Analyzes and organizes ideas and issues relating to public agency systems, issues, programs and practices, and presents them with clarity and precision.

CBA 2: Implementing Statutory Programs and Policies, I

Capacity	Syllabus Objective and TPU/Component	Comment
05-analyzes and presents with clarity	Objective A/TPU (a), component 2	Presents Advocacy paper (concerning creation of a new federally-funded program).

CBA 3: Communicating Public Agency Policies, Plans and Practices

05-analyzes and presents ideas with clarity	Objective D/TPU (d), component 2	At least four options must be analyzed in terms of functions and dysfunctions when students develop an alternatives paper on a policy-related issue.

CBA 6: Implementing Statutory Programs and Policies, Part II

05-analyzes and presents ideas with clarity	Objective B/TPU (b), components 1-3	Students present ideas with clarity when writing the abstract section for a local agency's proposal re federal funding.

CAPACITY - 5a: Is able to express simple and only moderately complex ideas, practices, situations, conclusions, etc., using direct, grammatically acceptable written language and organizational structure which meets minimum professional standards.

CBA 2: Implementing Statutory Programs and Policies, Part I

Capacity	Syllabus Objective and TPU/Component	Comment
05a-expresses ideas in professional language	Objective A/TPU (a), component 2	Presents Advocacy paper.

Capacity 5a Cont'd

CBA 3: Communicating Public Agency Policies, Plans and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
#5a-expresses ideas in professional language	Objective D/TPU (d), components 1 and 2	A highlight memo must be succinct and clear. Students practice developing memoranda which use language in a professionally-acceptable, lucid way.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

#5a-expresses ideas in professional language	Objective D/TPU (d), components 1 and 2	Students augment job descriptions both as in-class evaluations and as part of the pre/post test; one of the requisites for a good product is use of clear language in listing responsibilities and job qualifications.

CBA 6: Implementing Statutory Programs and Policies, Part II

#5a-expresses ideas in professional language	Objective B/TPU (b), components 1-3	In writing the proposal abstract, students develop the ability to draft succinct and lucid statements of problems, objectives, procedures and a delineation of dissemination procedures.

CAPACITY - 5b: Recognizes nuances of language relating to public agencies and public policy including the ability to comprehend verbal distinctions and their implications in professional reading materials.

CBA 2: Implementing Statutory Programs and Policies, Part I

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	Pre/post questions assess ability to recognize meanings of terms such as policy rationale.
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Pre/post questions probe for ability to recognize key terms, e.g., conference committee, constituents, etc.

Capacity 5b Cont'd

CBA 2 Cont'd

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 - 5	Central to the entire unit. Students must learn to distinguish such related concepts as direct mandates, delegations of authority and prohibitions. The language of the statute and its importance to the public administrator (and to the public management process) is the core of this TPU.
#5b-recognizes nuances of language	Objective D/TPU (d), components 1 - 4	Students learn how nuances of language can influence resolution of a dispute over policy issues. While secularist groups would not permit aid to parochial schools, they would allow it to students attending such schools.
#5b-recongizes nuances of language	Objective E/TPU (e), components 1 - 6	Pre/post questions assess the student's ability to distinguish between steps that are necessary to take when implementing a new program and steps that are quite possible.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#5b-recognizes nuances of language	Objective a/TPU (a), components 1 - 3	Both the pre/post test and in-semester quiz probe the ability to understand nuances of language relating to communication (e.g., the difference between insufficient communication and deliberate restriction on communication).
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Entire unit develops ability to distinguish various types of statements found in public agency documents: What is a hypothesis? What are supporting arguments or supporting evidence? When is supporting evidence valid? Etc., etc.
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Language used by various public speakers (e.g., Martin Luther King, Major Owens, etc.) is analyzed.
#5b-recognizes nuances of language	Objective D/TPU (d), components 1 and 2	Students read sample highlight memoranda and alternatives papers on public policy related matters in order to see how the writers used language so as to present ideas with maximum clarity.

Capacity 5b Cont'd

CBA 3 Cont'd

Capacity	Syllabus Objective and TPU/Component	Comment
#5b-recognizes nuances of language	Objective E/TPU (e), components 1 and 2	In both the pre/post test and in-semester quizzes, students must identify the best label for various boxes in a public agency flowchart. Since all choices are quite plausible, attention must be paid to nuances of language.
#5b-recognizes nuances of language	Objective F/TPU (f), components 1 - 5	In studying about Freedom of Information and "sunshine" statutes, students develop an awareness of how small nuances of language can engender important implementation consequences. It is, for example, very important that New York State's 'sunshine" la opens "formal" meetings and not simply "meetings," to the public.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

#5b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	Students learn how nuances of language used in delineating the structure and function of various central personnel models can have an effect on public personnel administration and effective line management.
#5b-recognizes nuances of language	Objective B/TPU (b), components 1 and 2	Students develop an awareness of how nuances of language used in delineating the structure and function of an intra-agency personnel unit (e.g, use of specialists or generalists) can have implications for effective line management.
#5b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Precise language is essential to writing objectives in MBO. The pre/post assessment asks students to identify the best operationally-defined objective from among five plausible choices. Also, precise language is essential to effective agency supervision. In the pre/post exam, students answer questions based on a verbal exchange between a supervisor and subordinate and choose approximate alternate language that that supervisor might have used.

Capacity 5b Cont'd

CBA 4 Cont'd

Capacity	Syllabus Objective and TPU/Component	Comment
05b-recognizes nuance of language	Objective D/TPU (d), components 1 and 2	Students read a wide variety of materials which require the ability to understand articles form scholarly journal(s) and actual public agency materials (e.g., job descriptions).

CBA 6: Implementing Statutory Programs and Policies, Part II

05b-recognizes nuances of language	Objective A/TPU (a), components 1 and 2	In examining the legal mandates and authority for a public agency (e.g., the social service agency in New York State), students encounter the nuances of language found in relevant policy manuals and handbooks. The required reading "The Community and Decentralization" focusses on the subtle shadings of meaning inherent in the way different groups use the term "community."
05b-recognizes nuances of language	Objective B/TPU (b), components 1-3	This unit puts stress on the need for internal consistency among the various components of a proposal.
05b-recognizes nuances of language	Objective C/TPU (c), components 1 and 2	Nuances of language pertaining to the evaluation process are explored. Students are assessed on ability to identify such terms as data source, cost-analytic techniques, etc.

CAPACITY - 6: Is aware of the nature and purposes of theory, its relation to informed practice. and of issues in the integration of theory and practice, such as incongruities between espoused and actual theories of practice and limitations perceived by public administrators in efforts to rationalize complex conceptualizations with day-to-day agency realities.

CBA 3: Communicating Public Agency Policies, Plans and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
06-theory and its relation to informed practice	Objective F/TPU (f), components 1 - 5	The intent of proponents of Freedom of Information and 'sunshine' laws is examined and contrasted with problems which can emerge during the implementation of these statutes.

Capacity 6 Cont'd

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

Capacity	Syllabus Objective and TPU/Component	Comment
#6-theory and its relation to informed practice	Objective A/TPU (a), component 1	Discrepencies between merit principles and their implementation are discussed
#6-theory and its relation to informed practice	Objective C/TPU (c), component 1	In studying MBO and its implicit demand for personnel flexibility, students are shown how lip-service to theory does not by itself produce change, improvement or flexibility

CBA 6: Implementing Statutory Programs and Policies, Part II

#6-theory and its relation to informed practice	Objective B/TPU (b), components 1-3	Students read Hall's Developing Skills in Proposal Writing which gives the theory of writing an effective proposal; later, students write their own proposal abstracts and encounter many practical, situational problems not necessarily explored in a theoretical summary.
#6-theory and its relation to informed practice	Objective C/TPU (c), components 1 and 2	Students develop an awareness of how social research theory is modified for purposes of program evaluation. Then students learn how the applied program evaluation theory is modified in additional ways during an actual evaluation.

CAPACITY - 7: Is aware of the short and long range implications and consequences of one's own actions and the actions of others.

CBA 2: Implementing Statutory Programs and Policies, Part I

Capacity	Syllabus Objective and TPU/Component	Comment
#7-implications of actions	Objective A/TPU (a), component 2	In writing the Advocacy paper, student must understand the implication of a particular program design in terms of its congruency with solving a given problem.

Capacity 7 Cont'd

CBA 6: Implementing Statutory Programs and Policies, Part II

Capacity	Syllabus Objective and TPU/Component	Comment
#7-implications of actions	Objective A/TPU (a), component 2	Students examine the implications of various formal structures, informal structures, informal processes and division of responsibilities, on a public agency's ability to seize the opportunities presented by a new federally-funded program. Consideration is given to the way that past agency decisions regarding structure etc. may influence an agency's possible present course of action.
#7-implications of actions	Objective B/TPU (b), components 1-3	Students develop an awareness that they might not get funded if they draft a proposal that is not in line with the funding agency's goal (as stated in the project's in-semester evaluation).
#7-implications of actions	Objective C/TPU (c), components 1 and 2	Students explore how selection of alternative evaluation techniques has consequences for the entire evaluation process.

CAPACITY -8: Recognizes one's own strengths and weaknesses as they relate to professional public administration responsibilities and engages in an ongoing critique of one's own products and performance.

CBA 2: Implementing Statutory Programs and Policies, Part I

Capacity	Syllabus Objective and TPU/Component	Comment
#8-recognizing one's own strengths and weaknesses	Objective A/TPU (a), component 2	Students critique successive drafts of their own and others Advocacy papers. They learn the benefits of revising later drafts based on in-class criticisms.

CBA 6: Implementing Statutory Programs and Policies, Part II

#8-recognizes one's own strengths and weaknesses	Objective B/TPU (b), components 1-3	Criteria for writing an effective abstract are shared with the class. Students write successive drafts of the abstracts which are critiqued by peers in the class. Since the criteria are available to all the students, an attitude of informed criticism is encouraged. Students revise their own drafts based on peer critique.

Capacity 7 Cont'd

CBA 2 Cont'd

Capacity	Syllabus Objective and TPU/Component	Comment
#7-implications of actions	Objective D/TPU (d), components 2 - 4	Students learn how a particular resolution or partial resolution of an issue in the passage of ESEA and income-maintenance statutes, has consequences for Subsequent proposals for revision of these laws and for their implementation
#7-implications of actions	Objective E/TPU (e), components 1 - 5	Discussion centers on the consequences which will result if the federal agency does or does not take various steps to ensure that its structure, work force, procedures, etc. are congruent with the demands of the new program.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#7-implications of actions	Objective B/TPU (b), component 2	Students analyze public policy documents in terms of relating a given policy alternative to its probable consequences.
#7-implications of actions	Objective D/TPU (d), component 2	In developing alternative papers, students analyze the implications of each option.
#7-implications of actions	Objective F/TPU (f), components 3 - 5	Implications of implementation of Freedom of Information and "sunshine" acts are discussed, particularly in relation to an agency's ability to carry out its legislatively-mandated activities and maximize program goals.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

#7-implications of actions	Objective C/TPU (c), components 1 and 2	This unit confronts how difficult it can be to get expected results when undergoing a genuine innovation in leadership practice or implementation of MBO. Genuine implementation of an innovative, conceptually-based practice can be very demanding and scary as well as productive. A new, conceptually-based practice that is officially "in" one area (e.g., management planning) can actually require major reforms "in" another area (e.g, personnel) in order to work as originally conceived.

CAPACITY - 9: Is able to perceive a variety of roles within a public agency setting; to grasp how each contributes to realizing agency goals through ongoing activities and the appropriate range of roles for fulfilling a given individual's range of professional responsibilities; is able to perceive how given roles and responsibilities influence what constitutes an appropriate response to a problem, issues or situation.

CBA 2: Implementing Statutory Programs and Policies, Part I

Capacity	Syllabus Objective and TPU/Component	Comment
#9-roles...their relation to appropriate responses	Objective E/TPU (e), components 1 - 4	Discussion focuses on how intra-agency roles and responsibilities may shift in the wake of new-program implementation and structural reorganization, e.g, in U.S.O.E. after the passage of ESEA.

CBA 3: Communicating Public Agency Policies, Plans and Practices

#9-roles...their relation to appropriate responses	Objective C/TPU (c), components 1 and 2	In developing speeches to present in class students may select any public agency role; they then tailor their speech's content and style so that it is congruent with the role they have chosen to assume.

CBA 4: Analyzing and Contributing to Personnel Relationships Systems and Practices

#9-roles...their relation to appropriate responses	Objective A/TPU (a), component 2	Various roles are studied in relation to purpose, structure, and function of four major central personnel models. Students see how different models result in different allocations of responsibility for judging, deciding and managing.

CBA 6: Implementing Statutory Programs and Policies, Part II

#9-roles...their relation to appropriate responses	Objective C/TPU (c), components 1 and 2	The role of the evaluator is studied in relation to the role of the program director, the social researcher, the policy makeretc. Distinguishing role characteristics and their implications are noted.